

Local Government
Management Project

The LGMP Experience: Phase III

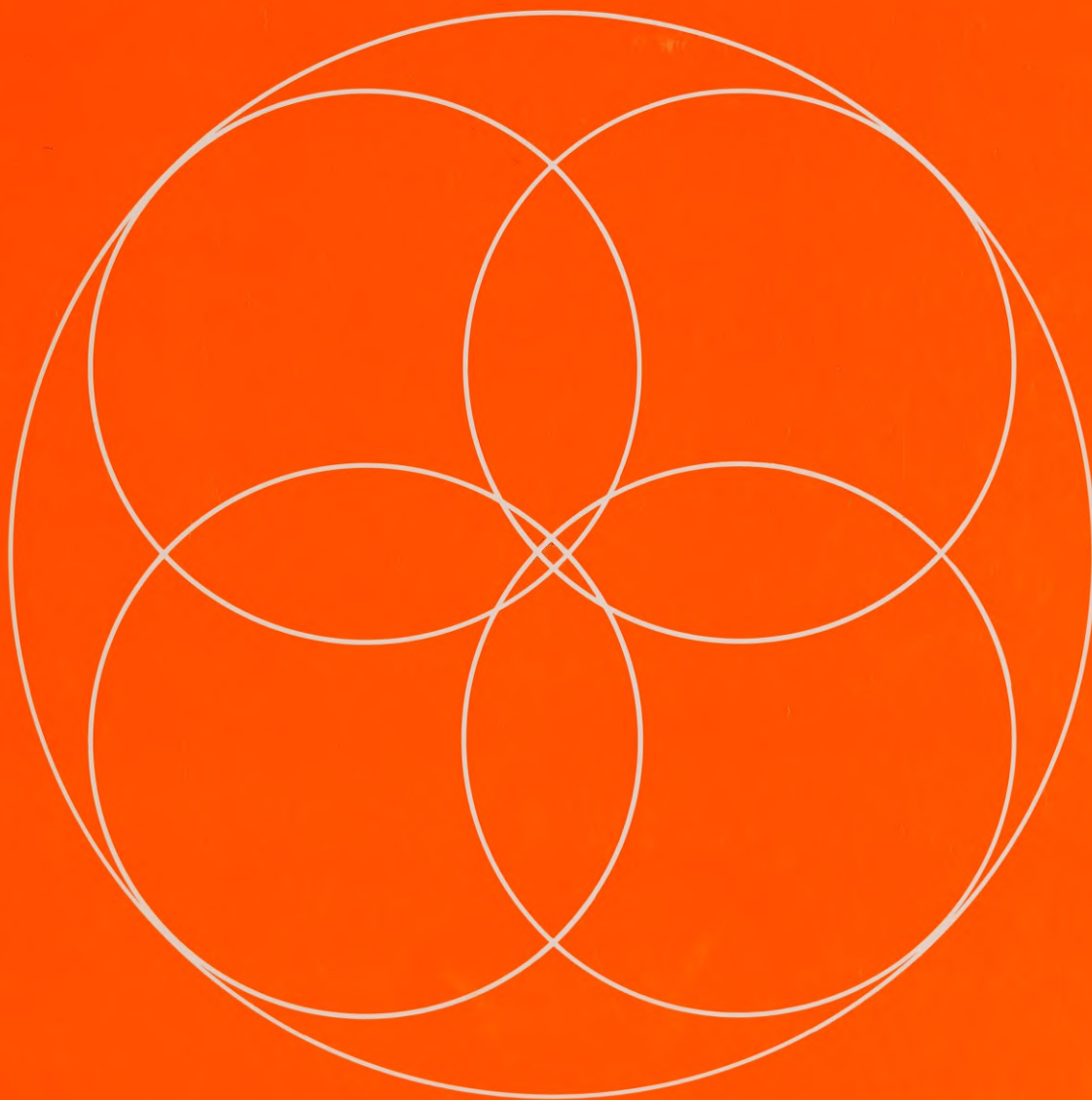
Government
Publications

Series A Publications
Documentation and Evaluation

An Overview of an Experiment
in Organizational Change
in Local Government

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The LGMP Experience: Phase III

An Overview of an Experiment
in Organizational Change
in Local Government

*V.N. MacDonald
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August, 1978

This Publication has been Prepared as Part of
The Local Government Management Project

A Joint Project of

The Ministry of Treasury, Economics and Inter-
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The Cities of London, Ottawa, and St. Catharines and
The Regional Municipality of Niagara

The School of Business, Queen's University at Kingston



Preface

The Local Government Management Project (LGMP) is a long term co-operative experimental project designed to research methods of improving management in local government. It is jointly sponsored by the Province of Ontario and four Ontario municipalities;
The City of London, population 300,000
The City of Ottawa, population 400,000
The City of St. Catharines, population 120,000
The Regional Municipality of Niagara, population 350,000

The Project was designed, implemented, documented and evaluated by a Project Team from Queen's University, assisted by Project Leaders (internal facilitators) in each of the participating municipalities.

Goal and objective setting was introduced as an initial intervention technique and subsequent efforts at management improvement were developed in response to problem identification.

The population, size and the political and administrative structures of each of the Project Municipalities differ and certain aspects of the LGMP experience can, at best, be generalized to only a limited number of municipalities. Many of the things learned, however, appear to be general enough to apply to all municipal managers, and possibly even to all managers, regardless of the nature of their responsibilities. In fact, the LGMP has discovered that goals and objectives themselves can be used in many quite distinct ways in management depending upon the manager's style, his functional area, and the type of problems which are most significant at the time.

Preliminary arrangements for the Project took place from November, 1972, to its approval by the Ministry of Treasury, Economics and Intergovernmental Affairs in April, 1974. Introductory training of Project staff and obtaining of municipal approval was completed by September, 1974, enabling the initial orientation workshops to take place in the fall of that year. Implementation of new management processes began early in 1975. The active involvement of the Queen's Team continued until June of 1977 and the months since that time have been spent in evaluating the overall Project and in writing the various publications.

This publication is the third in a series of three that describe and analyze different phases of the LGMP. It traces the Project from April, 1976, until the operational aspect of the Project ended in the summer of 1977.

As this is the final publication in this series, the authors

would like to take this opportunity to express their appreciation to those people who have had valuable input to the series. These include:

One of the initial Project Directors,
Jim Nininger,
The Queen's Team of Trainers, Researchers and Writers

Tony Tersigni
Charlie Ketcheson
Ray DeBlasi
Gordon McDiarmid
Jean Macleod

The Project Leaders,
Gene Deszca, the City of St. Catharines
Bob Rippey, the Regional Municipality of Niagara
Al Miller, the City of Ottawa
Scott Somerville, the City of London.

The authors are grateful for the constructive and detailed comments offered by Bonnie Brown of the Ministry of Treasury, Economics and Intergovernmental Affairs. Her insights have led to a more meaningful series.

Special thanks are also due to Nancy Peverley and Faye Gallery for their patient and cheerful support through the many rewrites.


The authors would like to express their appreciation to the Province of Ontario, Ministry of Treasury, Economics and Intergovernmental Affairs, Advisory Services Branch, and in particular, Ted Gomme, without whose encouragement, faith and hard work the Project would not have been a reality.

The LGMP has presented an exciting challenge to those who have been involved in it. We have learned a great deal about the operation of Canadian municipalities and the changes within them over a period of time. It is hoped that what we have learned will be communicated through this documentation series and that it will provide valuable assistance to municipal councillors and administrators, university staff, consultants, and public sector management advisory personnel, in Ontario and elsewhere, who are dedicated to improving the efficiency and effectiveness of local government.

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The first part of the report deals with the general conditions of the country and the progress of the work during the year. It is followed by a detailed account of the various expeditions and the results of the same. The report concludes with a summary of the work done and a list of the names of the persons who have taken part in it.

Executive Summary

This document is the concluding one in a series of three publications which describe and analyze the events of the Local Government Management Project (LGMP). Based on the LGMP experience it includes suggestions for municipalities in Ontario and elsewhere that are considering major organizational change programs.

The LGMP was designed to address the need for greater efficiency and effectiveness in the use of resources by local government, through improvements in managerial and organizational decision making. The Project will be a success insofar as the concepts generated can be usefully applied to other municipalities or to organizational change in general.

One example of the need for management improvement in local government is the general municipal response to financial restraints. The initial responses have often ignored any thought of trying to improve management. Usually programs are reduced, often with no sense of priority other than political persuasion. When top managers do attempt to improve the systems of management they all too often turn first to the introduction of complex ready-made techniques such as PPBS or MBO or, alternatively, to changes in organizational structure. Almost consistently, ready-made techniques, introduced hurriedly and without effective adaptation to the municipality, will fail. Managers frequently perceive such techniques as attempts to impose controls and more effort is spent in overcoming the controls than in using the techniques to operate more efficiently or effectively. Changes in structure on the other hand can only be effective where there is a clear understanding of the purpose, roles and goals of the organization and where the structure is specifically designed to facilitate goal accomplishment.

The LGMP recognized these issues and attempted to develop processes that could be used by municipal managers to bring about gradual but adaptive change; processes that would allow municipalities to improve their operation in difficult times. This reflects the overall goal of the Project which is to assist those involved in the delivery of local government services to improve the efficiency and effectiveness of their operations by developing a comprehensive set of management processes. To optimize the benefits of this experiment, the development and implementation of the Project in the four municipalities has been described and analyzed so that the experiences can be examined by other municipalities. Description and analysis is the primary purpose of this series of three publications (*Series A Publications: Documentation and Evaluation*). The

first publication (*Phase I*) covers the Project from its inception in 1972, through various developmental stages and ends with the approval of the Project by each of the four municipalities. The second publication (*Phase II*) covers the period September, 1974, to April, 1976, and encompasses the main part of the implementation phase of the Project. This publication (*Phase III*) contains an overview of the Project and covers the remaining one and one-quarter years of the Project, from April, 1976 to June, 1977. A fourth publication in this Series *Guidelines for Organizational Change in Local Government* outlines the techniques which were developed and tested during the LGMP.

Complementing this documentation series is a series of technical papers which should be of assistance to consultants, trainers and managers concerned with management and organizational development. As the Project developed, the Project Team recognized that certain areas of management improvement needed to be given special attention and covered in greater depth than this documentation series would allow. Consequently, the series called *Series B Publications: Technical Papers* is a collection of documents devoted to an investigation of the application of specific modern management concepts and tools to municipal operations. This series highlights areas of management that seem to need special emphasis in management improvement at least from a Canadian perspective.

The topics covered in this series are as follows.

- 1 Performance measurement in local government.
- 2 Strategic and corporate goal setting in local government.
- 3 Organizational change in local government.
- 4 Systematic approaches to information in local government.

These technical papers are generally designed to emphasize the relevant aspects of the LGMP experiences in these areas in the light of previous developments and practices in Canada, the United States, and abroad. An attempt is made to put that information in a perspective which encompasses the LGMP experiences.

AN OVERVIEW OF THE DOCUMENTATION PUBLICATIONS

The following represents an overview of the learning process that occurred within each phase of the Project.

Phase I

Phase I deals with the LGMP events which took place from the beginning of the Project in 1972 to September, 1974.

At its inception, the LGMP was defined as an experimental Project to examine the potential of an intervention, based primarily on goals and objectives but incorporating other management improvement techniques, to improve the management (council and administration) of local government. The basic intervention involved working with all levels of management to formulate explicit goals and objectives. This included the development of better co-ordination and decision making through teamwork, which in turn meant that there was a need to develop improved means both of expressing and of resolving conflict. It also involved the development of better measures of the achievement of objectives and, therefore, a degree of performance measurement. Overall, it was believed that as managers at all levels of local government become more familiar with the use of goals and objectives they would be able to:

- 1 establish a clearer direction for all municipal management efforts including clear delineation of responsibility, and delegation of the necessary authority;
- 2 develop their problem-solving capability through the explicit identification of problem areas at each management level and the setting of objectives to eliminate the problems;
- 3 improve horizontal and vertical communication and decision-making within the administration, among the combined administration and council, and within council and committees;
- 4 better co-ordinate their efforts, through the development of explicit procedures for programs requiring multi-department input (or multi-divisional input) and through the development of support services designed to meet the needs of the user departments;
- 5 better motivate lower-level managers and employees through the development of:
 - a greater participation in setting objectives and improved communication;
 - b clearer expectations and greater responsibility;
 - c better measurement of performance and input;
 - d the linking of rewards to performance;
 - e conscious planning at all levels, including corporate planning; and
 - f improved awareness of the role of organizational structure in the accomplishment of objectives.

As the basic intervention progressed it was hoped that the Project would provide the incentive and means to:

- 1 develop better measures of performance;
- 2 develop a review process tied into management development, and the appraisal system;

- 3 improve major management process areas, e.g., the budgeting process, the information system, line versus staff responsibility for support services, co-ordinated planning, etc.;
- 4 the more effective use of managerial time – procedures replacing meetings, better communication, greater delegation, etc.;
- 5 restructure where necessary to more readily accomplish objectives;
- 6 tie objectives into the budget to facilitate priority setting and council decision-making; and
- 7 develop a process of strategic community planning (the integration of special purpose boards and agencies into the process).

Thus the LGMP was designed on the basic premise that organizations needed general direction in the form of goals, and specific targets in the form of objectives (stated or unstated), to form a basis for management efforts. It very quickly became clear, however, that goals and objectives were *necessary* but not *sufficient* to promote effective management, because even managers who did not really understand their basic functions in an organization could establish a comprehensive set of goals and objectives and proceed to carry them out.

Probably the most outstanding conclusion reached by the LGMP Team, early in the Project, was the conviction that a great deal of confusion existed in local government with respect to both the purpose and functions of the various levels of management, including the mayor and council.

Confusion was evident regarding the difference between political or executive policy and administrative or operating policy. There was little evidence of an integrated and clearly understood overall management perspective and councils were not, generally, carrying out their integrative and co-ordinative political functions in dealing with current problems or in planning for the future. Also councillors, administrators and the public seemed to have different and sometimes conflicting perceptions of the role of local government.

It was recognized that these problems needed to be addressed before goal and objective setting could be meaningful. Responsibilities and role had to be clearly defined before activities and future directions could be determined. This meant that the preimplementation phase of the Project had to be concerned with determining the important factors involved in assessing the *readiness* of municipalities to embark on a major organizational change program.

The Team considered that the following ten prerequisites were necessary for a successful organizational change program.

- 1 The existence of pressure for change from the environment, internal or external.
- 2 Some strategic person or persons had to be 'hurting'.

- 3 Some strategic people must be willing to do a real diagnosis of the problems.
- 4 The availability of strong leadership.
- 5 There must be a potential for collaborative problem identification between line and staff and between council and administration.
- 6 There must be some willingness to take risks in trying new forms of organizational or interactional relationships.
- 7 Managers should have a realistic, long term perspective.
- 8 There must be a willingness to face the facts and to work with them in changing the situation.
- 9 The system should reward individuals for the long term effort of changing and improvement in addition to rewarding them for short term results.
- 10 There is a need for tangible results which can be seen by both council and administration.

It was recognized that each municipality differed from each of the others and that the change process in each would have to be tailored to the perceptions of the key municipal officials and to the organizational systems and procedures that presently existed. The municipal population and the sophistication of the municipal managers were also taken into account when developing the structure and organization of the Project in the municipalities.

Municipal Project Leaders were appointed as internal facilitators and trainers. Task Groups of senior administrators and, in one case, councillors, were established to guide the Project in each municipality. The Project Leaders and Task Groups helped in tailoring the LGMP processes and in filling the communication gap between the municipal managers and the Queen's Team. This was important because it quickly became clear that the onus for the success of the Project would fall upon the managers, both elected and appointed. Unless they were prepared to accept responsibility for the required initial effort and to encourage managers at lower levels in the organization, little could be accomplished.

At the end of the preparation and preimplementation phase, the Team concluded that the following actions were required by change agents and managers to create the prerequisite conditions and to ensure the successful implementation of a change program. These actions were expressed in the form of 'needs'.

- 1 The need for an understanding of the organizational environment.
- 2 The need for senior administrative integration and involvement.
- 3 The need for involvement and approval of council.
- 4 The need to designate resources over the long term.
- 5 The need for a future oriented perspective.

- 6 The need for an atmosphere which encourages change.
- 7 The need for an internal co-ordinator or consultant.
- 8 The need for capable outside advisors.

Phase II

Phase II deals with the period from the fall of 1974 to the spring of 1976. As such it covers the time when the majority of the Project resources were assigned to the *implementation* of the Project concepts and processes.

At the outset of the Project, the LGMP had specific objectives and an initial plan, based on the introduction of goals and objectives, to promote desirable organizational change. This plan was followed for approximately the first year in all of the municipalities, and what could be described as a period of general implementation took place. Similar processes and procedures were followed in all of the municipalities, although, even in that period, significant inter-municipal differences appeared. By June, 1975, it was apparent that there were four separate Projects rather than one LGMP. These differences were encouraged because it was important to mold the Project to suit the municipality. Rather than introducing standardized concepts to administrators who were not prepared to accept them, the Project Team spent much of its time during this period in the following activities.

- 1 Identifying areas where management development was needed and assisting managers with their in-house training needs.
- 2 Identifying communication difficulties and overlaps in responsibility within and across departments.
- 3 Working with managers to identify weaknesses in management processes and assisting in the development of systems that better served the needs of managers.
- 4 Identifying and defining problem areas where the resources were not being used in an optimum way to provide the best service to the community.
- 5 Assisting managers to develop goals and objectives in order to help with these problem areas and to suggest action where improvement was needed.

Thus, the task of the Project Team during this period was to become very much involved with the specifics of each municipality in order to assist where possible, while at the same time attempting to draw conclusions and develop concepts that could be generalized to assist those involved in change processes elsewhere.

These ideas and conclusions have been categorized under a number of headings which represent conditions which seemed to influence the type of project which evolved, and the apparent successes and failures of the processes introduced during the LGMP.

1 THE REQUIREMENT FOR COMMON NEEDS FOR IMPROVEMENT

During the implementation process it became apparent that not only was a perceived desire for change neces-

sary, but that a number of senior administrators had to have similar needs, and they had to be prepared to co-ordinate and co-operate during the implementation process.

2 THE REQUIREMENT FOR A DEGREE OF CENTRALIZATION

Closely related to the requirement for a commonly recognized basis for management improvement was the need for some degree of centralized decision making. From the LGMP perspective, it appeared that the CAO system or some similar system was urgently needed where it did not already exist. The primary role of the CAO was his capacity to act as a central focus, as a co-ordinator who is concerned with the management of the municipality as a whole.

The Project Team also felt that a corporate council focus was required in the form of a central executive committee that could formulate recommendations to council. Councils are unwieldy bodies unless their attention is focused on a definite recommendation or set of alternatives. As a result of their political nature they lack sufficient focus to be an effective decision-making body without the basis of definitive recommendations. They can make decisions only when the alternatives are reasonably clear and a vote upon those alternatives is possible.

3 THE REQUIREMENT THAT THE PROJECT OR PROGRAM BE MUNICIPALLY OWNED

Unless the council and/or administration accepts ownership of a management improvement initiative as their own, its potential for success is minimal. However, not only does top management in the municipality need to own the program, it also needs to be owned by each subsequent manager and level of management. Programs must be adapted to meet the needs of individual managers since styles, management conditions, technology, etc. differ among managers and in different parts of the organization.

Pay-off is not possible unless the program meets the urgent managerial needs of different managers and this means managers must be involved in both planning and implementing at each subsequent level. They can then own and guide the program within their own areas of responsibility.

4 THE REQUIREMENT FOR INCENTIVE AND MOTIVATION

The motivation for any major management improvement program must be corporately based. This means that prominent administrators and councillors must have a desire to improve the general management of the municipality and must give their support to a program designed to do this. The LGMP experiment in Ottawa involved three of the major departments, comprising over three-quarters of the municipal staff, however, no real progress could be made at the corporate level in dealing with broader city and management problems without the involvement of all department heads and certainly not without co-ordination and co-operation between the three that were involved.

Individual, as well as corporate motivation and incentives, were also found to be crucial. The Project Team believes that managers about to begin any program involving major changes should be given the widest possible perspective on management and organizational development. Major changes occur slowly and influential managers must understand and support the rationale behind the process, or else their support, and subsequently the support of the junior managers they influence, will quickly lag.

Managers learn and change their behaviour slowly. They do not easily relinquish behaviour patterns that have worked for them in the past. Merely showing a manager a better way of doing his job will not guarantee that he will accept it. Managers change by a trial and error, step-by-step process and they need constant encouragement from their superiors or peers if they are to take the risks involved.

5 THE REQUIREMENT FOR COUNCIL AND ADMINISTRATIVE SUPPORT

To some extent the Project Team members were guilty of what might be a very common error in implementing management changes. They tended to assume that because certain top administrators, who had been involved in early project discussions and briefings, had approved the municipality's involvement in the LGMP, the same degree of understanding and acceptance would be present at other levels. Nothing could be further from the truth. As noted, managers do not tend to change their style of management simply because they are told that it is the thing to do. Changes in management style and content require basic changes by the managers and they are slow and hard to implement. In fact, the manager has to adapt the new techniques to suit his own approach to management. Thus he needs to be involved in the implementation, to accept the fact that there is a reason to change and that the change which is being implemented has the potential for personal and/or organizational pay-off.

Many administrators were not prepared to make this commitment and the success of the LGMP was limited by partial support. Solid council support was also required where the program became involved with the improvement of Council's operation or improvement at the council/administration interface. Council support is also helpful in the initiation of administrative management improvement programs and particularly in encouraging higher level administrators to at least make an effort to get involved in the program. A successful management improvement program requires acceptance and a great deal of long term effort on the part of all managers involved, however, and council backing is a helpful, but not sufficient contribution to success.

6 THE REQUIREMENT FOR A COMPLIMENTARY MUNICIPAL STRUCTURE

The organizational structure should clearly highlight the organizational roles, responsibilities and identify the central focal point for organizational decision-making. The existence of integrators such as a CAO, a senior management team at the appointed level and an executive committee at the elected level is important.

Without bodies such as this, a municipality does not have the focus to enable it to deal with some of the major management problems in local government. Strong council committees can play definite management roles; they can help councillors to gain an understanding of the municipal management and service delivery functions so that they are better able to provide direction for administrators and to monitor their efforts. Unless there is a central committee of council to work with corporate issues, however, standing committees of council can actually be a divisive influence. In either case, councillors are unwise to become involved in administrative detail and committees may encourage that type of involvement.

In the LGMP experience, committees of department heads without a CAO did not prove to be successful administrative management integrators. Corporate management problems were not effectively handled, support services were inadequately developed, and duplication of equipment and information was common because the committee had no real power to act in any of those areas.

7 THE REQUIREMENT FOR A DEGREE OF CORPORATE INTEGRATION

One of the keys to local government management improvement is the capability of the particular municipality to function as a corporation, breaking down the traditional functional departmental lines of authority. The Project Team feels that the program which seems most applicable and appropriate to local government management improvement must be one which acts to integrate departments in dealing with the broad based problems which municipalities must solve. The most appropriate program is also the one which helps administrators to develop mutual support services, common information technologies and co-operative efforts to allocate resources and to provide recommendations to council.

8 THE REQUIREMENT FOR A CERTAIN LEVEL OF MANAGEMENT EXPERTISE

The extent of management sophistication is a very important variable influencing both the appropriate type and speed of progress of local government management improvement programs. While it is true that councils manage municipalities in a political sense, it is also very evident that they are not equipped motivationally, through experience or through education, to handle the management of a rather complex service delivery function. It falls to administrators to fulfill operational managerial roles. In fact, councillors require a good deal of information in order to play their political and top administrative management roles effectively and much of that information needs to come from the administration.

Unfortunately, many administrators tend to see themselves as custodians performing a relatively passive monitoring role, rather than a managerial, decision-making role. It seems that managerial improvement in local government, involving the determination of goals and objectives, whether it is under the title of goal and

objective setting, MBO, PPBS, or zero based budgeting, will not be effective until municipal administrators accept their basic roles as managers and concentrate their energies upon everything that management entails.

9 THE REQUIREMENT FOR AN APPROPRIATE WORK CLIMATE

The type of management improvement program and its potential for success, is largely dependent upon the work environment in the organization at the outset. The feeling between employees and managers, between managers at different levels, the extent of trust, co-operation and co-ordination and the degree of task versus personal survival orientation are critical factors in the operation of any organization.

If there is distrust among managers, and between managers and employees, management improvement programs will need to begin by attempting to create an atmosphere of trust and by developing a co-operative and co-ordinative orientation.

10 THE REQUIREMENT FOR INFORMATION TECHNOLOGY

The technological aspects of a task have a major influence upon the type of information managers require and the way in which they carry out their jobs. Engineers, for example, are providing hard services to the public and have a major requirement for public feedback regarding the extent to which those services are seen as satisfactory and also the technical quality of the services. For the most part these are concrete, measurable activities and the public is able to express opinions which are useful to local government.

Support departments, of course, require feedback from the departments they service. They also require an opportunity to indicate what they *can* do – what they are capable of in terms of service. Inter-departmental communication is important to support departments, particularly departments such as Personnel which have to play an advisory role. Their effectiveness really depends upon their ability to influence and help managers to become more effective. This effective management in support or advisory roles such as Legal, Personnel, Data Processing and Financial Management, is quite a different proposition than effective management in a direct service context.

11 THE REQUIREMENT FOR FINANCIAL RESOURCES

The financial capability of the municipality is an important factor affecting the speed of change. Whether or not filing systems, individual managers' use of information, and the development of corporate management expertise can all be tackled at once, will be highly dependent upon the management resources, expertise and finances available.

A Framework for Management

During this second phase the Team developed a framework which helped in discussing and working with management improvement in local government. The primary elements in this framework are:

- 1 the development of a clear understanding of the pur-

pose of the organization and of all its elements (the reasons why they exist);

- 2 the identification of both the general goals and specific objectives and activities which an organization and its sub-organizations need to carry out to achieve their purposes;
- 3 the development of structures and procedures which will result in appropriate patterns of interaction and processes of management to achieve the goals and objectives, and the obtaining of the necessary human, material and financial resources;
- 4 an ongoing adaptive management operation involving monitoring, controlling and continuous feedback;
- 5 a periodic, detailed, evaluative procedure for ensuring that the purpose of the organization is being fulfilled and its goals and objectives are being achieved; and
- 6 both ongoing and periodic modification and re-establishment of goals and objectives.

This framework was found to be valuable in that it could be used to analyze both the effectiveness of local government management and the implementation phase of the LGMP.

Measuring Organizational Change

Another related aspect of the analysis involved the effect of the Project upon the various interfaces within the organization. These interfaces are as follows.

- 1 The interface between the individual and the organization.
- 2 The interface between the individual and his work group.
- 3 The interface between superiors and subordinates.
- 4 The interface between divisions and departments.
- 5 The interface between council and administration.
- 6 The interface with other levels of government, other boards, commissions and agencies and other municipalities.
- 7 The interface between the local government and the public.

The Project Team believes, as a result of the LGMP, that the organizational changes which occur at these interfaces are probably the best indicators of change in management practices in local government. Changes in such areas do not necessarily signify improvements but if they conform with the objectives of an organizational change program it might be inferred with some degree of accuracy that the changes resulted at least partially from the program.

Phase III

Phase III deals with the events towards the close of the Project. The time period involved is from the spring of 1976 to June of 1977, at which time the operational aspects of the Project ceased.

The objectives which guided the operational activities during the closing period were as follows.

- 1 To be able to evaluate the relative advisability of attempting organizational change in part, versus all, of the administrative structure of a municipality (Ottawa vs. the other three municipalities).
- 2 To further test the effectiveness of a goal and objectives system in:
 - a integrating and co-ordinating administrative efforts;
 - b improving the delivery and efficiency of municipal services;
 - c improving the co-ordination and efficiency of support services within the administration;
 - d successful reorganization;
 - e obtaining greater involvement in decision-making at different management levels;
 - f the development of an ongoing co-ordinated approach to problem identification and solution at all management levels;
 - g the development of teamwork;
 - h the development of formal methods of input to and communication with, other levels of government and other boards and agencies within the community; and
 - i the development of internal continuity with regard to all of the processes mentioned above.
- 3 To have tested the desire and apparent potential of council/administrative teams to develop corporate goals and objectives (in Ottawa, St. Catharines and possibly London).
- 4 To determine the influence of council involvement in LGMP processes upon the involvement of non-participating departments and upon co-ordination and integration at the administrative level.
- 5 To further develop and document unique approaches to the specification and measurement of the effectiveness of managerial activities.
- 6 To evaluate the LGMP in terms of its potential for organizational change and development.

By the time this phase began, the direction and thrust of the Project had altered significantly from the initial orientation on which it had been based. At the outset, the Project had been designed to evaluate the usefulness of applying a broadly conceived system of goals and objectives to the municipal setting. It was expected that the majority of the operational work would be concerned with ensuring that such a system was implemented.

During *Phase II*, however, it had become increasingly obvious that the existence of a comprehensive, homogeneous, integrated system is a myth. Managers are unique, and they use techniques in different ways. All managers must, however, contribute to overall organizational purposes and goals. Thus the development

of mechanisms to integrate and co-ordinate managers' efforts became a major emphasis in the LGMP. In addition, of course, both individual and organizational conditions continued to change as a result of the Project and of other environmental impacts. The particular areas that seemed to need emphasis were the following.

1 MOTIVATION

The willingness of managers to accept and, in fact, to develop new ideas and concepts, and to use them to improve their management tasks, was found to be important at this stage. Motivation can come either from within the individual, as he sees how the concepts can be incorporated and can be of benefit to him, or he can be motivated through the organization and its managers. Motivation to incorporate the LGMP concepts came from both quarters and where it was lacking the Project suffered.

It was recognized in *Phase II* that managers do not quickly change their behaviour if they perceive risks in doing so, or where the risk is not compensated for by some reward. The reinforcement of behaviour change is important but this was rarely done in the municipalities. Supervisors did not encourage and reward desirable behaviour, and organizational rewards were seldom apparent for effective management. Promotions and salary increases depended for the most part upon length of service rather than the quality of that service. Where department heads took the initiative and did encourage positive change, however, considerable motivational pay-off did result.

2 MANAGEMENT SKILLS

The skills required for a municipal administrator have, historically, tended to be more professional and technical than managerial. Mobility has always been vertical rather than horizontal. This may have been adequate in preceding years, but is seen as inappropriate in today's complex organizations.

A basic understanding of such managerial concepts as delegation, supervision, subordinate motivation, and internal communication and decision-making processes is essential before a goal and objective system can be established in an organization. Sometimes this understanding did not exist and the Project Team spent considerable time trying to develop the skills involved.

The whole area of management education for both administrators and councillors has been neglected in Ontario, perhaps because the most appropriate courses are not available. With this in mind the Project Team

developed an outline of an educational process that might be directed to meet the needs of municipal managers.

3 CORPORATE PHILOSOPHY

Historically municipalities have developed along departmental lines. This has tended to produce a departmentalist philosophy in which each department runs its own affairs for its own benefit. The prevalence of this philosophy makes it difficult for a municipality to work as an integrated unit because each department will be concerned with meeting its own needs. Such a system does not allow the organization to cope with the sophisticated problems posed by today's municipal environment.

The Team was successful in working with individual managers who showed initiative, but a basic problem was a lack of clear corporate direction and planning, and the lack of an integrating force for organizational decision-making.

4 COUNCIL INVOLVEMENT

The extent to which councils were willing to become involved in the Project had a considerable impact upon its direction and effectiveness. Administrators need direction from council whereas councils need advice from administrators. Effective corporate management is dependent upon an effective working relationship between councillors and administrators. A strong senior management team or CAO alone cannot provide sufficient force for change if the relationship with the council is ambiguous. Council involvement is discussed at some length in this paper.

In conclusion, during this final phase the primary concern of the Project Team became less directed towards goal and objective training and more towards working with administrators and councillors to identify the most appropriate management processes, given the situation, personalities, learning speeds, traditions, etc., and the most appropriate means of implementing them. In essence, then, the Project attempted to determine what type of program, under what conditions, might be most successful in improving local government management.

The 'Implications for Other Municipalities' section contains an overview of management improvement considerations using the previously discussed management framework as a reference.

The Local Government Management Project is a co-operative project involving three participants: The Province of Ontario; four municipalities¹; and Queen's University. The overall goal of the Project is to assist those municipalities involved in the Project in the delivery of local government services and to contribute to the potential improvement in the efficiency and effectiveness of local government operations by developing and implementing a comprehensive set of management processes which have some general applications to other municipalities.

A major feature of the Project is the uniqueness of each Project Municipality. One example of this uniqueness is the differing political and administrative structures of the four municipalities. As a result of this variance, the management processes that were developed differed with respect to both form and method of introduction. It is essential to the overall success of the LGMP as a learning device that the approaches taken and the processes which evolved in each municipality, are clearly described and analyzed.

Through this description and analysis, other municipalities can study the implementation procedures, and become aware of both the problems encountered and the methods used to deal with those problems. Thus, they will be in a better position to introduce processes which suit their own particular needs.

The organization of the three documentation publications is determined by their purpose, which is to:

- 1 *describe* the main LGMP events which took place during the period under discussion in as much detail as possible;
- 2 *provide an analysis* of the events which took place, and attempt to draw conclusions from the LGMP experiences in the four municipalities, where possible; and
- 3 *provide guidelines* for municipalities in Ontario and elsewhere, not only with respect to the LGMP processes, but in relationship to other approaches to organizational change that municipalities may be considering.

The first documentation paper covered the initial stages and prerequisite requirements for a major management improvement program, whereas the second concentrated upon the implementation phase. This third paper carries a summary of the information in the other two and concentrates upon the final stages and the development of an ongoing adaptive capability in local government.

Perhaps the main motivation for organizational change and management improvement in local governments is the pressure to become sensitive and adaptive to the needs and changing requirements of the communities to which they are responsible, and to make optimum use of the talents of the managers whose responsibility it is to manage the operation.

In order to operate more effectively, municipalities need to develop a capacity for ongoing learning and adaptation.

But this is saying nothing new. This was the reason why the LGMP came into existence in 1974. What is new, is that the Team can now contribute more fully to the discussion of how a municipality can go about doing this; how a municipality can recognize what needs to be done to develop this capacity for adaptation.

What is exciting and important is that the LGMP concepts have been derived from four years of extensive management improvement experience and have been tested in the local government environment. The ideas expressed in this documentation series are directly applicable to today's municipalities.

Part I

A Description of Events: An Overview of the LGMP, With an Emphasis on the Latter Stages (From April 1976 - July 1977).

Municipal administrators supplied the initial impetus for the LGMP during the summers of 1971 and 1972. One of the Project Directors who had some experience with management by objectives in business was conducting seminars as part of a general municipal management program. Those attending were senior local government administrators from Provinces and municipalities across Canada and they displayed a considerable interest in the topic of goals and objectives. They felt that goal and objective setting could be a very effective method of improving the management of local government and asked the Project Director if he would hold a series of workshops for local government administrators. At this time the Project Director declined because he was convinced that only long term management improvement programs would be of any real benefit. He became interested, however, when the Ontario Ministry of Treasury, Economics and Intergovernmental Affairs indicated that they might be prepared to sponsor an experiment in the improvement of local government management in a number of municipalities.

As a first step, the Ministry agreed to underwrite a study, to be conducted by the Project Directors, which would examine the extent to which municipalities in North America, England, and Europe had become involved in management improvement. This study involved a detailed investigation of the various approaches that were being taken to improve management processes in local government, e.g. goal setting, performance measurement and organizational development. During the study, contacts were made with a number of municipalities in North America, and other municipalities, institutes and associations in Europe. It was found that many of the approaches investigated seemed to concentrate on certain parts of the total management process to the exclusion of a number of others, whereas the Project Directors believed that the total management process had to be the central focus. Various techniques could be developed in particular areas of management but they had to be integrated into an overall management system to achieve their potential. As a consequence, the LGMP tried to incorporate some aspects of many of the more common approaches into a project designed to have implications for all areas of management.

The background study concluded with a seminar in June, 1973, which consisted of a review of the practices investigated, and a description of the proposed

Project. It was also an opportunity to obtain further indications of municipal interest in such a Project. A cross-section of Ontario municipalities were invited to send representatives to this seminar, and, in all, thirty-three senior administrators (representing sixteen municipalities) attended.

Most of those administrators expressed a high degree of interest in management improvement, and a significant number indicated that they would recommend involvement of their municipalities in the proposed Project. Because the seminar was seen as being highly successful, and the interest in the proposed Project was sufficiently high, discussions concerning a multi-municipal study seemed to be the next logical step.

The inclusion of a number of municipalities was considered necessary so that the implementation experiences could be monitored in municipalities differing in size, administrative structure, and jurisdictional responsibility (upper and lower-tier municipalities). An extended time period was considered essential because it would take a period of time to develop a comprehensive management process at all levels of the municipalities.

To obtain financial support the Ministry requested that the Project Team submit a proposal for a long term Project 'designed to implement a broadly-conceived goal and objective setting system in three to six municipalities over the next three to four years'. After several months of discussion and revision this proposal was presented to Cabinet and approved in May, 1974. At that time, the four municipalities that had expressed the most consistent interest were invited to join the Project by the Province; these four being the Regional Municipality of Niagara, and the Cities of St. Catharines, London and Ottawa. By July of 1974, each respective council had approved municipal involvement in the four year Project.

Cabinet approval of the Project included the funding terms. These terms stated that the Province would pay 80% of the first year costs, the participating municipalities would pay the remaining 20%, and the Project would be funded on a year-to-year basis.

ESTABLISHING A PROJECT TEAM¹

The Project Directors had identified the lack of ongoing feedback and training for the managers involved as one weakness of most management by objectives programs. They saw a need to provide such guidance at all levels of management. This meant that a number of trainers or facilitators would need to be involved in each municipality. Thus, the Project Directors hired three trainers, as part of the Queen's Project Team, and asked each of the municipalities to appoint a municipal Project Leader who would act as a liaison person with the municipality and who would also act as a trainer within the municipality.

Recent graduates from Queen's University were hired as Project Trainers, primarily selected on the basis of their apparent capability, reliability and ability to work with others. Professional trainers were not hired, partially through considerations of cost, but also because the Project Directors wanted staff who thoroughly believed in what they were doing and who would be able to 'work with' rather than 'teach' managers through the long term Project.

TRAINING THE PROJECT TEAM AND THE PROJECT LEADERS

Since neither the Project Team trainers nor the municipal Project Leaders had any prior experiences with goals and objectives training, teamwork training, conflict resolution techniques, etc., the Project Directors had a large scale training task before implementation in the municipalities could begin.

In August, 1974, a week long Project Leaders' Orientation Seminar was held at Queen's University. The purpose of this seminar was to familiarize the Project Leaders, the Project Trainers, and other interested individuals with the 'Local Government Management Project'.

Each of the Project Municipalities was invited to send four representatives to the session. It was felt that it would be useful to have a number of individuals in each municipality familiar with the Project. One elected representative (the Chairman of the Project Task Group of the Region of Niagara) attended the session. Also in attendance at the session were representatives from the central Advisory Services Branch and others from regional offices of the Ministry.

INITIAL PERIOD

During the initial period, the Project Team carried out similar operations in each municipality. These included:

- 1 obtaining knowledge and information about the basic management operation of each municipality, through a basic organizational questionnaire (BOQ)

- 2 orientation workshops for the team of top managers who would guide the Project in each municipality,² to help those top managers to understand the rationale for the LGMP, the processes that would be introduced, and to become involved in planning the nature of the Project in their particular municipality; and
- 3 goal and objective setting workshops for the team of top managers to practice goal and objective setting, and to encourage interaction and mutual understanding among department heads.

IMPLEMENTATION

Following the initial orientation workshops the Project followed a distinct course in each Project Municipality and an overview of the events which occurred is as follows.

The Regional Municipality of Niagara

THE PERIOD UP TO APRIL 1976

It was decided by council that a Task Group would assume responsibility for the direction of the Project within the Region. This Task Group would provide aid to administrators, where necessary, through the Project Leader, and would play an important role in identifying problems and in working with the Queen's Project Team to determine the nature and pace of implementation of the Project in the Region.

The Task Group held its first meeting on June 6, 1974, and indicated strong support for the Project. Members of this Group included the Mayor of the largest Regional city, St. Catharines, and the Lord Mayor of Niagara on the Lake. Both the Chairman and Vice-Chairman of the group were also elected members. The Task Group nominated a Project Leader, who also held the position of Public Works Co-ordinator, and it was determined that he would retain his administrative position while devoting a large portion of his time to the Project.

In the Region, the council was large and unwieldy being composed of twenty-nine members. Each of these members was intent upon meeting the needs of his/her own municipality and, as a consequence, the group did not operate as a unit. Many of the decision-making areas had been allocated to various standing committees of council; these included Public Works, Finance, Social Services and Planning Committees. Each committee was strong, and issues within each service area were discussed in detail at the committee level before being presented to Council, after which the issues were rarely discussed again in depth. As a result of the strong political role of the standing committees, department heads were oriented primarily towards obtaining approval for departmental activities through their respective committee. Thus, there was no central or integrative force drawing department heads together and encouraging a corporate orientation toward the consideration and solution of broader Regional problems. Most department heads regarded their isolation from other departments as a management problem, however, and recognized that they were tending to duplicate internal

1 Appendices I and II contain a more detailed discussion of the Project Team and the systems and questionnaires which they used to evaluate the impact of the LGMP.

2 These teams varied somewhat in composition, in St. Catharines the Team consisted of the CAO and department heads, in London, department heads and major division heads, in Ottawa, department heads and branch heads, and, in the Region of Niagara, department heads and four councillors.

departmental support services as a result of their isolation.

As a result of this recognition of the need for integration, the initial orientation and goals and objectives workshops, which brought all department heads, some division heads and the four elected members on the Project Task Group together, met with strong support from those administrators who were really concerned with improving the effectiveness of management in the Region. Strong support also came from the elected members of the Task Group. The least interest was shown by the smaller support departments.

In general, the relationships among department heads in the Region were reasonably good at the outset of the Project, however, they were not communicating and co-ordinating to any extent. The early Project meetings acted to stimulate communication and, when later problem identification workshops within departments indicated a need for co-ordination (for example, in discussion of support services or general planning) the amount of co-ordinative activity increased and a real desire for co-operation was evident. The relationship between the Queen's Team, the Project Leader and the administrators was also good, and characterised by openness and trust. Thus, in the Task Group goal and objective workshops, the managers were able to address the issues of co-ordination and inter-departmental co-operation, as well as issues within the departments.

The two departments that seemed to progress most in the development and use of goals and objectives were Public Works and Homes for the Aged. These departments concluded that the Project concepts could be useful to their operations and they wanted to begin training immediately.

Public Works

At that time the Public Works Department division heads were not particularly happy with an outside consultant's recommendations for a new departmental structure and for changes in their own functional areas of responsibility. Thus, in the initial stages of the Project, the Department Head asked the Project Team and Project Leader if they could help to devise a departmental structure more suitable to his division heads than the one recommended by the consultants. The Project Team, with some reservations, agreed to work with the division heads to establish an acceptable breakdown of responsibility.

First, they identified all the functions to be performed in the department. Then the associated responsibilities were identified and grouped, taking into account current problem areas, or potential problem areas. After a number of difficulties were debated and resolved, an acceptable structure was established and the division heads assumed their new responsibilities. It took nearly a year before the changes in personnel allocations among the divisions were finalized and all the divisions were operating smoothly, but the interim period was not at all chaotic as a result of continuous communication among the division heads and between the division heads and the Department Head during the transition period. This communication was greatly facilitated by

the Project Leader who ensured that management differences were aired immediately and were not allowed to smoulder and generate deep seated hostility. The Project Leader and the Queen's Team also spent a good deal of time helping to resolve conflicts.

Homes for the Aged

The Homes for the Aged Department Director felt that there was a need for greater trust and openness in his department and was interested in having decisions made on a more of a team basis. The supervisors of the five Homes saw goals and objectives as an opportunity to delegate to their staff and as a potential means of obtaining more direct responsibility from the Director. The Director also saw goals and objectives as a technique whereby he could delegate and still have a way of controlling though the more definitive accountability possible. Since these desires were compatible, the Director and supervisors supported the LGMP and the process of planning and management using goals and objectives was highly appropriate to their needs.

The supervisors of all of the Homes were able to contribute to the development of department goals and broad objectives. In fact, the Director found that he gained many useful ideas and insights as a result of the discussions which took place. As the workshops proceeded, he was also able to better identify and clarify specific functions which could be assigned to his assistant and to the supervisors of the Homes, and specific areas of responsibility which he preferred to retain for himself.

The goal and objective approach was essentially used in three ways.

1 For ongoing programs

Certain programs such as recreation and patient care applied to all of the Homes, although the particular application in each Home sometimes differed. Thus goals were identical but objectives differed among Homes.

2 For introducing new programs

An example of the introduction of a new program was that of a program designed as an outpatient program for senior citizens. The purpose of the program was clarified first and then the broad goals or general directions of the program were determined. Some broad objectives were established because the number who could be involved in the program was a major factor in determining its overall costs and benefits and, therefore, its feasibility.

Once the decision was made to go ahead with the program, definitive objectives were established, future review dates were determined, program limits were established, and cut-off criteria were set so that the program could be terminated if certain requirements were not met by the predetermined review dates.

3 For clarifying work roles

The workshops were used to get representatives from the different groups together and to aid them in establishing mutually acceptable role descriptions for all groups, e.g. nurses, nurses aids, and recreational staff.

The Director of the Homes for the Aged felt that these processes were serving to give him a better appreciation of the roles which could be filled by his staff and were also helping him to use the full potential of his work force.

Other Departments

The Project Leader and Project Team also worked with the Planning Department to clarify the department's role and with the Social Services Department to try to resolve internal conflicts and establish clear roles for departmental staff. This work was still ongoing in the spring of 1976.

The Director of Social Services had tried various methods of dealing with conflicts and role problems; however, designated changes in position and role, requests for some resignations, reassignments of responsibility, both direct and indirect criticism – had all led to greater distrust and insecurity rather than firmer and more effective management. When the Project Leader and the Queen's trainer suggested that they try to help the staff to work toward clearer role definition and more open communication, the director agreed. Some very open discussions were initiated in the summer of 1976 and continued through the winter. More direct feedback and discussion of conflicts were becoming the norm.

Working largely on their own, but keeping the Project Leader informed, administrators in the Finance Department established firm goals and objectives for most functions and proceeded to improve their operations in most areas.

The LGMP also addressed the cross-departmental problems of co-ordination between line departments and staff or support departments. Discussions with managers at superintendent level and below revealed that many difficulties existed with respect to support services and that communication was constrained between departments where joint inputs were necessary. As mutual problems developed and were not resolved, some evidence of developing hostility began to emerge.

The LGMP had limited success in this general area. Departments receiving support services were encouraged to set targets or objectives to obtain the type of service they needed and to communicate those needs and objectives to supplier departments. Supplier departments and divisions, e.g. Purchasing, which was a division of Accounting, were encouraged to define their support service objectives. The users and suppliers were then brought together to establish a procedure for the supplying of a support service which met user needs and which fell within the capacity of the supplier.

Unfortunately, in many cases, user departments were not prepared to do the necessary work to define *their* needs and the initiative was either delayed or ended there. Where users carried through with their part of the work, suppliers usually tried to meet user needs.

Council Involvement.

Although the four councillors on the Task Group quickly became strong supporters of the LGMP, and the

Regional Council was generally favourably disposed, no general enthusiasm developed for Council involvement. From the beginning, the Project Leader and department heads had discussed their goals and objectives with the standing committees. Sufficient interest was generated to encourage a Project briefing of the Regional Council late in 1975, at which progress to date and possibilities for the future were discussed. The Council was not prepared, however, to go ahead with the establishment of Regional goals and objectives because of the danger that controversial issues, currently being avoided, might emerge. A proposal to set Regional goals and objectives was discussed and shelved for further consideration. The Regional Chairman subsequently suggested that Council involvement be held in abeyance.

THE FINAL PERIOD (FROM APRIL, 1976 - JULY, 1977)

During the early part of 1976, lower-level administrators attended over twenty workshops in which goal and objective setting and the establishment of a formal review process for goals and objectives were practised. Another twenty workshops provided similar practise for middle managers. Four of the middle management meetings were inter-departmental in an attempt to improve communication and co-ordination with individual department heads and division heads. Many strategy discussions took place as the Project Leader and Team attempted to adapt the process to meet administrative needs.

As a consequence, by the summer of 1977, a sophisticated, operational and ongoing system of goals and objectives had been developed within most of the Regional administration. Most administrators in the Region had been exposed to goals and objectives, and most had found the concepts useful. Review workshops were being scheduled in the major departments to ensure that progress in the achievement of previously determined goals and objectives was evaluated, to refine goals and objectives for the next period and to ensure that teamwork and co-ordination continued. The specific contributions of the Project to different departments varied somewhat and the varied experiences probably have some relevance for other municipalities.

Public Works

The newly formed Development Division and the Projects Division, with its redefined responsibility, found the LGMP processes most useful. Both divisions continued to reorganize as the administrators refined the divisional roles and established appropriate goals and objectives. On the other hand, the longer established Roadways Division and Sewer and Water Division found the process less useful for their more routine functions. The department head developed a team and individual review process for working with his four division heads. In attempting to address common problems within and between departments he arranged monthly meetings with each of his division heads to review their goals and objectives and to discuss their areas of concern. The Roadways, Development and Project Division Heads also developed adequate review processes within their divisions.

Homes for the Aged

The Director and Home supervisors worked with the Project Leader and Queen's Trainer to set up an ongoing review process for the goals and objectives of the department, for the individual Homes, and for departments within the Homes.

Clarification of roles for the various staff occupational areas was continued in this period of the Project. At the outset there had been some overlap and uncertainty regarding the responsibilities of nurses, nurses aids, cleaning staff, and recreation staff. To address this problem, the Nursing Department set up a committee of nurses, nursing assistants, and others involved in health care, to set goals and objectives for their departments. During the process they studied and defined the roles that each played and identified the work being done by all of the staff. Through discussion and more effective redistribution of the work, teamwork was improved. Generally, the Project Leader and Project Trainer felt that the efforts to clarify roles and responsibilities and to set objectives were successful and contributed to better relationships between staff classifications.

Social Services

The two change agents also co-ordinated in working with senior staff in the Social Services Department to clarify roles and to establish better communication and interpersonal relationships. The Social Services Department had been formed by the amalgamation of several county staffs at the time of regionalization. This had created the need to integrate many rather marginally trained people, who had loyalties to the previous county system, into a larger more complex organization with regional loyalties; a difficult problem that continued into the final year of the Project. To deal with this issue an ongoing problem identification process was initiated, involving all staff, both union and non-union, to increase team work. This process was still in transition at the cessation of the implementation phase of the Project.

Planning and Finance

The Project staff also worked with the Planning Department to some degree and to a very limited degree with the Finance Department.

The Planning Department had greatly increased staff during the initial years of the Project and was involved in clarifying roles and in developing an adequate operating structure and processes. Generally, this was treated as a problem that had to be solved internally and the Project staff could be of only marginal help.

The Finance Department had considerable internal expertise in managing with goals and objectives. The Department Head and members of the department kept in touch with the Project staff and kept them informed of progress within the department. Effective goals and objectives were developed at all managerial levels and carefully and systematically reviewed during this period. The Department Head took the initiative in attempting to develop a corporate management perspective at the inter-departmental level by increasing the department's support service efforts. He moved the em-

phasis toward more consultation with user departments, particularly Social Services and the Public Works Department, to ensure that the financial systems in operation met the departments' needs. His efforts in this area were complementary to those of the Project Leader and the Queen's staff.

Committee of Department Heads

Unfortunately, the Committee of Department Heads did not succeed in developing the open communication and co-operative stance necessary to become a really effective corporate management team, although by early 1978, administrative policies were being established and the committee was serving a co-ordinative role.

Council Involvement

Following the Regional Chairman's request in early 1976 to hold Council involvement in the LGMP in abeyance, no serious attempt was ever made to regenerate the corporate management aspects of the Project at the Council level. A number of members of Council and most administrative heads of major departments expressed an interest in continuing the Project at the corporate level and this should have been possible given the improvement in communication and co-operation at the senior administrative levels. By mid 1977 the Committee of Department Heads had evolved to the point where it was developing meaningful goals and objectives for its own operation. By this time also department heads were beginning to make corporate recommendations to Council in unison, through their respective committees, and to resolve issues which had the potential to become conflicts at the administrative level. There was, however, no real feeling of cohesiveness or strength.

Three Project Task Group meetings took place during the final year of the Project. The first was held in the spring of 1976, and was attended by three councillors and ten senior administrators. At this meeting it was acknowledged that more management training and performance reviews were needed in both line and support departments and Project strategy for furthering departmental training in goals and objectives was discussed.

Other issues discussed included various means of approaching the Regional Council and of obtaining their involvement in setting goals for the Region. It was felt that direction and identity were needed for the Region in terms of goals and objectives in areas such as planning, land use, transportation, etc. These would provide a flexible plan for the Regional administration to follow. It was also felt that a strong co-ordinated Committee of Department Heads was needed. This committee could provide the managerial expertise and inter-departmental decision-making necessary for input to help in the development of a flexible plan based on broad goals and objectives. A third issue involved the means of improving the problem identification and problem solving potential of the Committee of Department Heads.

The Task Group members at this meeting were agreed that the Project had been beneficial and expressed an eagerness to proceed in all three of the above areas. However, as has been noted, no initiatives were forthcoming from Council, and real Project involvement was essentially limited to work within the major departments during the last year.

The final two Task Group meetings took a similar form. The second was held in October of 1976 and was attended by four councillors and ten senior administrators. This meeting was held primarily to discuss the closing out of the Project and the development of an ongoing management improvement program in the Region. Support was expressed for the Project by the four councillors and by most department heads, with the strongest support coming from the large public service departments. Again, it was emphasized that the Committee of Department Heads needed direction from Council in the form of broad goals and objectives for the municipality. Decisions made by separate standing committees required integration and co-ordination and, consequently, the political involvement of the council as a whole was necessary to develop policy and priorities for overall levels and types of service. It was agreed that the Region should continue with the program after the formal LGMP was discontinued but no definite plan evolved.

The final Task Group meeting held in the spring of 1977 was initiated by the Project Leader and Project Team to follow up the interest expressed during the October, 1976 meeting. Once again, strong support was expressed for the continuation of the program and some alternative methods were discussed. One of these involved the retention of the present Project Leader in his dual capacity. The Director of Public Works vetoed that possibility, indicating that the Project Leader was required on a full-time basis as the head of the Administrative Division of his department.

Most other alternatives, such as the employment of the Queen's Trainer by the Region, or the hiring of a special person to act in the capacity of Project Leader, seemed to involve a greater expenditure than the department heads were prepared to approve. It was a case of a great deal of lip service, strong words of support for the Project and all it stood for, but with no real backing. No one central person or committee was prepared to take action to ensure that the program continued.

The councillors on the Task Group seemed somewhat frustrated by the indecision, as were the members of the Queen's Team. A highly successful effort attained at a considerable expenditure of effort on the part of the Project Leader, the Queen's Team and a large number of administrators, was being given little chance of continuity and yet it had general support from most of the people who had been involved! Some of the reasons for this apparent contradiction will be discussed in the analysis. They have some interesting implications for other management improvement programs.

The City of St. Catharines

THE PERIOD UP TO APRIL 1976

The City of St. Catharines, through the Mayor and the City Administrator, was instrumental in the inception of the LGMP.

Following the June 1973 seminar, the City Administrator recommended to Council that the City express a desire to become involved in the proposed Project. Unfortunately, that City Administrator left St. Catharines in the spring of 1974, but the new Administrator, appointed in April 1974, was also in complete agreement with the LGMP aims and objectives.

In May 1974, a meeting was held to discuss the components of the Task Group and the appointment of the Project Leader. Initially, the Task Group was to consist of both appointed officials and elected representatives, as recommended by the Project Team. After further consideration, however, the senior administrative team decided that it should undertake the role of the Task Group. Following that decision and after considerable discussion, the Assistant to the City Administrator was selected as the Project Leader.

The Project was formally approved by Council on September 9, 1974, and orientation meetings took place in October and November. At that time, the new City Administrator made it plain that he personally was in full agreement with the basic aims of the LGMP, particularly with regard to the development of teamwork at each administrative level. He emphasized the need to designate administrative time to the process and for personal involvement and commitment on the part of all department heads, indicating that if there were serious unresolved reservations regarding the LGMP the City would not proceed with the Project. Department heads generally took him at his word and, as a result of their early involvement in decisions, a degree of trust developed and St. Catharines' administrators put their efforts behind the LGMP.

The development of this trust, however, was a slow process. It did not occur entirely in the first two or three meetings, and required courage and involvement on the part of both the City Administrator and the department heads. The mutual commitment to develop an effective senior management team certainly helped. As the trust developed over the first year of the LGMP, the team took on a new significance for the department heads. It became a place where they could try out their ideas and where they could obtain suggestions and support from other top administrators. If problems existed between departments or if issues arose where the solutions required inputs from several department heads they could be discussed and resolved by the senior management team.

Goal and objective setting workshops for this team got underway early in 1975. A good deal of time during these meetings was spent in discussions of the role, purpose and operation of the team. This discussion was necessary before meaningful goals and objectives could be set. Between these meetings, departments deter-

mined their own goals and these were then discussed and critiqued by the other department heads.

Discussions regarding mutual support roles were frequent and some objectives were formulated in support areas during subsequent meetings. Really effective communication rapidly developed at the top management level and support departments became involved and active from the outset, more so than they did in any other Project Municipality.

The Mayor was greatly concerned with the development of improved decision-making capabilities at the elected level and the need for better defined roles for councillors. He felt that Council, at that time, was not able to play an effective executive policy-making role and that clarification of the difference between administrative and elected input to decisions should be a very high priority.

The City Administrator was primarily concerned with the development of an administrative team which could consider all major city issues in a broader context and which could make recommendations to Council based on the wide experience and considered opinion of all city administrators.

A major reason for the success of the Project in St. Catharines was the early development of this senior management team which began to deal effectively with both broad administrative and general corporate problems. As new issues arose which required consideration by Council or action by administration, the administrator identifying the issue would bring it to the attention of the senior management team. In this forum various action alternatives were discussed and the item was referred to Council with the corporate advisory perspective of the team.

Concurrently with senior management team meetings, goal and objective setting workshops were held for division heads and supervisors. Participating administrators were drawn from a variety of departments for each workshop in an attempt to improve inter-departmental understanding and communication. Follow-up workshops within the departments, involving two levels of management in goal and objective determination, helped to develop the work-team approach and to help managers to set goals and objectives for their own jobs.

Division heads in the Parks and Recreation Department and the Planning Department displayed a good deal of initiative in developing goals and objectives at the division level following the general workshops. Particularly in Parks and Recreation, superintendents and program supervisors were involved in the determination of divisional objectives at an early stage of the Project. The Director of the department had set the stage by working with his division heads from the outset. They saw the motivational advantages of their own involvement in goal and objective determination and carried these on to their subordinates.

THE FINAL PERIOD (APRIL, 1976 - JULY, 1977)

By the spring of 1976 the LGMP was progressing well in St. Catharines. A primary factor was the top level sup-

port being shown by the City Administrator and the Mayor. Both were very much in favour of the Project and they encouraged the support of administrators and councillors. There was a good relationship between the administration and the Council, both were interested in management improvement and consequently supported the Project. The LGMP was seen as a way of developing a better sense of purpose and direction for the City as both councillors and administrators felt that clear goals and objectives would help in presenting the City's arguments to influence Provincial and Regional decisions.

By early 1977, operational goals and objectives had been completed for all but the Engineering and Fire Departments. Goal and objective setting workshops had involved division heads, superintendents and most foremen.

Goal and Objective Reviews

The summer and fall of 1976 was a period of consolidation and review. Full day workshops were held with the Engineering, Fire, and Parks and Recreation Departments, while half-day workshops were held for Supplies and Services, Personnel, Business Development, Planning, Finance and the City Clerk's Department. Individuals participating in these workshops were asked to review the goals and objectives which had been previously determined and to set both goals and objectives for their own jobs. Each individual was encouraged to work with those people reporting directly to him in determining goals and objectives for his job, as those people would be responsible for helping him to achieve his goals and objectives.

Work was not completed at this time in the Fire Department because the Fire Chief had introduced goal and objective setting to the department in the form of a major intra-departmental program which involved all his management personnel and, in fact, all his men, in data gathering and the compilation of information. Since this study involved the gathering of a great deal of data with potential value for other departments, the Fire Chief attempted to develop a computer program that made the data readily available to all potential users.

Administrators were mutually helpful and co-operative and a great deal of positive informal communication was evident at all management levels. There was also strong evidence of the development of effective formal and informal support services and mechanisms for co-ordination.

Although delegation was a problem in some areas, there was also evidence that management resources were being used more effectively and that younger managers were being developed through the assignment of responsibility. Members of the Project Team were very impressed by the evident desire of all managers within the City to do a good job. Even those managers who were slated for imminent retirement were eager to improve their effectiveness. This being the case, the problem of introducing change was primarily one of finding suitable management procedures and processes.

Although the propensity to accept improvements in management existed, one of the biggest problems faced by the Project Team in these workshops was the difficulty in helping managers to use goals and objectives to improve their operations. Unless problems were properly identified at the outset, so that problem solving objectives were possible, the objectives that were set often represented routine activities which would have been accomplished in the process of normal activities.

The Senior Management Team

Apart from working with individual departments at this time, the Project Team was also working extensively with the senior management team. Perhaps the primary reason for the success of this team was the fact that each member was personally involved and committed to making a contribution to the team and to the success of the Project. The Project staff helped the team to identify its own roles and responsibilities and to determine what it should accomplish and by what criteria accomplishments should be measured. The team worked to further communications between line and support departments and across different management levels.

Three senior management team meetings were held in the spring of 1976. At the first of these, programs within the departments were reviewed and the team discussed the level of Project Team and Project Leader involvement in developing departmental goals and objectives. This meeting also included a discussion of some areas in which the City information/communication system might be improved. At this time department heads agreed that when each of their departments had developed satisfactory goals and objectives these should be presented to Council.

The second senior management team meeting involved a rehearsal by the Fire Chief for the presentation of his goals and objectives to Council. This included a briefing on the current status of the department and an identification of concerns regarding future operations. This presentation was later given to Council and was very well received by both Council and the press.

The third meeting involved a comprehensive discussion of some tentative approaches to improving the City information/communication system. It was particularly noted that communication with Council could be improved. This is not to say that communication was poor. In fact, the Project Team felt that the relationships between the Council and the administration, and within the administration were very strong.

Department heads and the City Administrator were able to discuss the broad issues of City government freely among themselves and to bring more specific departmental plans and recommendations to the senior administrative team for suggestions, opinions and to examine possible conflicts with the work of other departments. They were also able to discuss instructions from Council and to take joint action, where necessary, to implement those instructions. That degree of co-operation and co-ordination was indicative of relatively good communication.

Administrative Relationships with Council

The consensus among members of the senior management team seemed to indicate that relationships between the administration and Council in the City were very good and that an atmosphere of co-operation and commonality existed. There were, however, certain needs identified by administrators relevant to improved communication with Council. At the same time, some questions emerged regarding the potential roles of departmental goals in that interface.

Administrators suggested that the administration of the City would be facilitated and would be potentially more effective:

- 1 if there was a clearer statement of ongoing direction, in the form of goals and some broad objectives for the City, to guide administrative efforts. While these, particularly the objectives, would change somewhat over time and with succeeding Councils, they would at least provide an orientation to guide recommendations and against which subsequent proposals for change would be considered;
- 2 if Council policies were available in certain areas where administrative decisions involved deciding between different directions for the City. In cases where various administrative alternatives were possible this might mean presenting the Council with a number of alternatives and their perceived implications (potential costs and benefits as well as could be forecast). It was recognized that the type of analysis required to present these alternatives could be costly and must, therefore, sometimes be limited to the best information the administration had available, e.g. the judgement of the relevant department head plus the advice of other members of the senior management team;
- 3 if Council could be given a clearer idea of what the implications of a change in the City budget might mean in terms of the objectives which could actually be accomplished by the administration. This would enable the Council to more readily determine priorities and to guide administrative efforts appropriately. It would also allow the Council to be more aware of the actual services possible given various levels of expenditure.

The process of developing goals and objectives for itself and defining its role and responsibility, had quickly led the senior management team to recognize that it needed ongoing dialogue with Council. This would provide information required by Council to develop policy that would guide the administration in its decision making.

The activities of the senior management team also had a major influence on Council's involvement in the Project. The fact that the Committee of Department Heads was acting as a senior management team, discussing issues crossing departmental lines, had a major influence on Council and encouraged its involvement. Council recognized that it had to develop the following:

- 1 an understanding of its own role and the role of administration in the present system so they could

work together to identify and find solutions for municipal problems;

- 2 a clear picture of its own information needs and the ability (including potential cost) of the administration to provide that information;
- 3 support through involvement, for the LGMP in terms of:
 - a helping administrators to develop better communications and an improved information system;
 - b working toward and providing input to a more effective state of corporate management including corporate goals and objectives; and
 - c developing a clear statement of St. Catharines' needs and desires in order to clarify the role of the City government when relating to other levels of government, whose decisions were impinging upon the welfare of people within the City.

It was generally agreed by both Council and administration, therefore, that even though the communications and relationships were good, for further progress to be made there was a need to:

- 1 improve mutual understanding and communication between Council and administration;
- 2 develop more defined, but still flexible goals, broad objectives and policies at the Council level; and
- 3 develop a problem solving approach which better utilized both administrative and Council contributions.

At a further senior management team meeting in May 1976, it was determined that councillors should be approached regarding their involvement in filling policy gaps and in determining City goals and objectives. The static briefings regarding departmental roles, goals and objectives were not sufficient for this purpose. Questions could be included during departmental presentations of current goals and objectives which required resolution by Council. Those questions, of course, would be ones which were considered to be important by councillors. Consequently, the senior administrators proceeded to develop policy issues that:

- 1 would interest Council and stimulate their involvement in joint problem solving and in policy making where required;
- 2 needed clarification for effective service planning and delivery;
- 3 had the potential for solution; and
- 4 presented more than one viable course of action, and the most appropriate course needed to be resolved.

It was felt that the best course of action would be for each administrator to identify those areas of his responsibility where had difficulty in setting goals and objectives because he was unsure of Council's policy. When all department heads had completed their presentations to Council the senior management team could compile the areas where policy needs had been identified and

these could be debated and hopefully resolved, in a Council/Administration workshop.

This Council/Administration workshop took place during October of 1976. In preparation, department heads continued the presentation of goals and objectives to Council along with a discussion of areas where more definite or clearer policy was desired. In essence, one department head made a presentation at each meeting of Council explaining:

- 1 what he believed his departmental goals and major objectives were, making it clear to Council that these goals and objectives were for his guidance and the guidance of members of his department in carrying out their perceived functions;
- 2 what he felt were areas where direction in the form of Council policies or even implicit goals and objectives were lacking. This could include areas where the department head felt existing policy was ineffective or outdated. Essentially, he would be saying to the Council, 'This is an area where I need some immediate direction', and perhaps presenting some alternatives and their implications.

Prior to the workshop, the Queen's Team and the Project Leader identified and gathered together the issues — those areas in which administrators indicated specific needs for Council policy and direction. Many were well documented from the department head presentations to Council, but others were identified during discussions with the department heads, the City Administrator and councillors, specifically so they could be discussed at the workshop. At the workshop, Council would be asked for guidance in those areas. In many cases, the apparent alternatives and the costs and benefits of adapting each of these alternatives could be identified. Through this process, it was hoped that Council's decisions would provide an outline of goals and broad objectives for the City. Department heads would then have a reference to use in re-examining and revising their own departmental goals and objectives in light of the new and additional directions which were provided.

The workshop took place on October 15th and 16th, 1976, at a location within the City but away from City Hall. In all, thirteen out of fifteen councillors and thirteen administrators attended the session, with the Queen's Project Director acting as facilitator and moderator. In the interests of size, invitations were extended to department heads only. The first evening was given to a restatement of the issue areas, which had been segmented into planning, service and resource areas. On Saturday (the following day) the participants were formed into small informal groups of councillors and administrators for the purpose of discussing the issue areas. For this purpose, overall issue areas were broken down into more specific questions, often with the implications of a decision identified, i.e. the costs and benefits of one action relative to another. After the groups had an opportunity to discuss the various questions in a particular issue area, they were brought together and the questions were discussed by the group as a whole. Common areas of thinking were identified, as were divergent views.

After the workshop, the discussion which had taken place and the recommendations which had emerged were again studied by the department heads and then presented to Council in a report for Council's approval.

Overall, all agenda items were discussed. Perhaps the most surprising and, at the same time, reassuring aspect of this meeting was the high degree of consensus which was apparent within the total group in most issue areas. The discussion appeared to be very frank and the attitudes throughout the discussion were indicative of a mutual respect and a good working relationship between Council and administration.

A questionnaire circulated at the conclusion of the workshop indicated a unanimously positive reaction. Both councillors and administrators felt that communication was vastly improved by the workshop and that 'real' opinions had been exchanged and a better understanding achieved as a result. Administrators felt that they had received clearer direction for their efforts, whereas councillors generally commented most favourably upon the opportunity to take a broad look at the City's needs in both a current and future oriented perspective. It was believed by both administrators and councillors that Council would be improved as a decision-making body as a result of the experience. The workshop certainly fulfilled its function of providing a forum for open and unrestricted discussion of issue areas. It also helped greatly to further promote and develop the uniquely positive and constructive relationship which existed between Council and the administration.

This workshop was held just prior to an election so that the composite knowledge of this experienced Council and the top administrators could be passed to the incoming Council. Recommendations flowing from this workshop would provide an orientation for the new Council and the administration to enable them to focus more directly upon the broader issues which required resolution. The incoming Council would not, of course, be committed to the recommendations which were made, but would have some guidelines for possible action relating to the more urgent policy needs of the City.

It was recommended at the October workshop that a subsequent workshop for the new Council would be most beneficial, and this took place on Saturday, April 2, 1977, at the same location. Eleven elected members and thirteen administrators participated in the workshop. Also designed as a free-flowing idea-generating session, this workshop differed from the first in that the issues that were presented were primarily those considered important but which were left unresolved at the October session. At first, it had been hoped that Council would set goals and objectives for the City which would provide a reference for the administration. Council, however, was more concerned with problem identification and the discussion of potential solutions.

Most councillors felt that Council could best contribute by discussing corporate issues and by attempting to give the administration some direction. This session was marred by the fact that one new Council member did not attend. Those who did attend, however, were very positive about the result.

In December, 1976, an orientation session had been held with the new Council to introduce them to the City. At that session the goals and objectives of the different departments had been presented for Council review. That orientation session, plus the Council/Administration workshop, really helped to introduce the new councillors to the City organization and to its systems of management. The workshop also provided some clarification of Council's feeling on a number of issues which the administration had placed on the agenda.

As a result of these workshops, Council decided to become more involved in joint discussions through similar sessions. As of June, 1977, both Council and the administration hoped to hold more workshops of a similar nature.

In 1977, the LGMP also worked with the administrators within departments. The City's Project Leader, with input from the Project Director, developed a management training program for all managers in the municipality. Throughout the spring of 1977, he worked with supervisors and middle managers, holding sessions dealing with problem identification, leadership, performance measurement, etc. All managers in the City were involved except for the Fire Department and the foremen in the Engineering, and Parks and Recreation Departments. These sessions were intended both as problem identification workshops and as means of furthering the manager's expertise in installing an operational system of goals and objectives. During this time the Project Leader and Project Trainer assisted the new City Clerk in his efforts to reorganize that department to make it a more effective operation and to provide an opportunity for the staff to develop their skills.³

The Project Team continued to work with the departments in reviewing and updating their goals and objectives. Objectives were also reviewed at the senior management team level where the Project developed a questionnaire to assess team effectiveness by senior management team members. The results of this questionnaire were useful in assessing the team's role and responsibilities and in reassessing goals and objectives.

In June, 1977, the problems identified during the spring training workshops with supervisors and middle managers were collected and discussed at a special department heads' meeting. At the end of this workshop the senior management team indicated the intention of carrying on with the Project. The City took concrete action by appointing a replacement Project Leader when the previous one left to pursue his Ph.D. in Business.

The City of London

THE PERIOD UP TO APRIL 1976

The pre-LGMP seminars describing goals and objectives techniques, prompted the participants from London to

3 The process of restructuring used by the LGMP staff is described in *The LGMP Experience: Guidelines for Organizational Change in Local Government*.

report to their Council on the benefits of the process. On the basis of this report a committee of elected members was appointed to draft preliminary goals and objectives for the capital and operating budgets. This committee met a number of times during the winter of 1972-73. During these meetings the committee reviewed the goals, objectives, and progress of various programs, including the budget, but generally floundered in the absence of facilitator expertise. In October, 1973, as a result of a number of difficulties the goals and objectives committee was experiencing, the committee was disbanded and its functions were assumed by the Board of Control.

Late in April, 1974, the Project Directors attended a meeting of the Board of Control to provide an up-date on the Project, which was nearing Provincial approval, and to answer controller's questions. The discussion centred around two points; the desire on the part of some Board members to have the Project take the direction of a planned-program-budgeting system; and the question of whether or not the public should be involved in the goal and objective setting process. The Project Directors expressed the view that neither of these approaches were compatible with the Project during its early stages. Program budgeting entailed too many changes over a short period of time and could be disruptive to the organization as well as to the Project. They felt that administrators should first learn to set goals and objectives and establish administrative programs. They would then be in a position to make recommendations to Council for corporate programs and would help Council in establishing corporate goals and objectives.

Some members of the Board of Control considered the explanations advanced by the LGMP Directors to be vague and theoretical. They lost interest in the LGMP at this time, and as later became evident, developed an indifference toward both the Project and Project Team. This lack of interest on the part of the City's executive directors necessarily influenced the reaction of the CAO and major department heads toward the LGMP. In spite of this indifference, however, City Council agreed to the City's participation in the Project on May 6, 1974.

Once the commitment had been made, the attention turned towards the establishment of a Task Group and the appointment of a Project Leader. Although initially it was agreed that the Task Group should involve both elected and appointed managers it was eventually decided, with the concurrence of the elected representatives, that the Task Group would consist of administrative personnel only. This decision was based on the feeling by at least two administrators that joint committees were generally ineffective because administrators had insufficient input. A full-time Project Leader was appointed, reporting to the CAO.

A New Chief Administrative Officer

A new CAO was appointed in the fall of 1974, when the Project Leader had already been selected and London was definitely involved in the LGMP. Although he was generally in favour of the stated objectives of the LGMP, the new CAO had some understandable reservations

about both the LGMP staff and the nature of the Project he had inherited. Almost certainly, he wanted to keep the process of organizational change and management improvement under his own control and direction, and wanted to ensure that all program and Project decisions were made by him, probably in concert with his senior administrators.

As the Project Team found at a later date, the CAO intended to manage the overall City program of management and organizational development, and perceived the LGMP input as being primarily in the form of goals and objectives training. Thus, the input of the LGMP staff from his viewpoint was far different from the input to the programs in both St. Catharines and the Region of Niagara, where the LGMP itself was regarded as a central integrative and management development focus.

Upon assuming office, the CAO's highest priority involved a major reorganization of the administration. The new structure, which was based on a consultant's study, required the hiring of a number of new administrators, and some hiring decisions were not made until late in 1975. Thus LGMP initiatives were postponed in all areas until June, 1975, and in the community services area they were limited until 1976, when the new managers assumed their positions and established the basic structures for their operations.

An orientation workshop was held in October of 1975, but this was not a success because of the disorganization and confusion that existed at the time. The senior administrators hoped that this workshop would clarify the role of the CAO, and their positions and roles from his perspective but, of course, this was not the function of the workshop.

Distrust and suspicion seemed to characterize the relationship between top administrators. The CAO attempted to establish a senior administrative group as a corporate management body but a co-operative, frank, problem solving atmosphere did not develop.

The CAO decided to involve his middle managers in a series of task groups to study corporate management areas, such as the management information system, and to make recommendations regarding ways in which such systems might be improved. These groups performed communication, integration and management development functions for the City in addition to a management development function for middle managers.

London Police Initiative

While the reorganization was in progress the London Police Chief decided to proceed with goal and objective development. He arranged for two workshops with the Queen's Team and then, with some help from the London Project Leader, proceeded to develop his own approach to goals and objectives.

The Senior Police Team found some difficulty with the concept of goals at each management level, probably because the three top levels of management were operating as a team. Thus they decided to establish goals at the departmental level only. When the Senior

Police Team established objectives, these were delegated to the appropriate person or persons in the department who would then accept responsibility for carrying them out.

Goal and Objective Workshops

After the consultant's recommendations had been accepted and the new structure established, the City proceeded with goals and objectives training. Workshops were held in July and September, 1975, for commissioners (centralized department heads), assistants to department heads and those division and group heads who reported directly to the CAO or commissioner.

Apart from Police and Finance, which already had goals and some objectives, most of the other departments made an effort to develop departmental goals and objectives at this time. Notable exceptions included support departments such as Legal, Personnel (where a new director was just being hired), Social Services and the Dearness Home (the latter two were about to come under two new levels of management). The Data Processing Division managers worked as a team, rapidly completing objectives for their own operation only to realize that, as a support department, their main operation was really dependent upon effective objective setting by other departments. They were, however, fully prepared to outline the type of service they could offer and established procedures for priority setting, etc.

The Planning Division went ahead to develop a detailed set of objectives, mainly through the efforts of one young manager who was eventually named Acting Planning Director.

The City Clerk's Department had several young, capable middle managers who, with some help, adapted goal and objective setting to suit their managerial needs. They met as a team with their department head to clarify areas of responsibility and then proceeded to set objectives to improve their own operation. Some of their objectives required co-operation from other departments; these inter-departmental objectives became problems, to some extent, as a result of rather poor inter-departmental communication and co-operation. Generally, there was evidence of willingness to co-operate but administrative procedures for co-ordination needed to be established.

The City Engineer's Department had some difficulty in setting goals and objectives below the departmental level. As a result of an apparent inability to perceive pay-off potential from goal and objective setting, a special internal facilitator was appointed to assist managers within the department in goal and objective setting. An extensive series of problem identification meetings were scheduled for each Engineering division in the spring of 1976.

The Fire Chief and his Deputy had participated in the Police Department workshops. They had set goals at the department level as a result of that early training, and had also established a number of objectives. In September, 1975, the Fire Chief formed a management improvement team made up of platoon chiefs, and training and administrative officers. This group im-

mediately began to identify problem areas in the Fire Service where management improvement objectives were required. These included the areas of training, selection for promotion (and therefore appraisal) and rewards for superior performance.

Unfortunately, the development and improvement of support services was limited because some departments or divisions lacked commitment and dragged their feet. The Clerk's Department and the Data Processing Division had both developed programs which depended upon co-operation and co-ordination with other departments and both were somewhat frustrated because the other departments had not developed goals and objectives to the point where they could fully co-operate. Finance, of course, was hampered in the same way with regard to desired improvements in the budgeting process.

Limited LGMP Role

The LGMP was never able to gain sufficient momentum to provide a co-ordinative corporate focus in London, perhaps partially because it was considered by the CAO to have a limited role in London's overall management improvement program. In retrospect, the roles of the Project Team and the City Project Leader, relative to the overall City management improvement program, should have been well defined far earlier than they were.

By the time these roles were clarified, the reputation of the Project had suffered in spite of a good deal of hard work by Project staff, and Project services were in rather limited demand. The City Project Leader assumed a limited financial audit function in late 1975 and was essentially divorced from goal and objective training, which was regarded as a Queen's Team responsibility.

Corporate Focus

The CAO also assigned responsibility for the preparation of an inventory of City goals and objectives to the Project Leader. In addition, he was asked to prepare corporate position papers for Council in certain designated service areas. The CAO had decided that a corporate goal setting initiative by the London Council and Board of Control would best come about through the submission of a series of administratively prepared position papers in areas such as housing, transportation, or land use, where corporate policy was evolving and frequent decisions were necessary. By examining the former decisions of Council in each of these service areas, a set of rough goals and objectives were produced based on those past decisions. This rough set of goals and objectives provided the current Council with some basis for thought and discussion and was intended to be of some help to Council in generating a comprehensive set of current goals and objectives in the relevant area. The development of position papers proved to be a slow, difficult and time consuming process, and by April, 1976 three papers had been completed but none of them had been presented to Council.

THE FINAL PERIOD (FROM APRIL 1976 - JULY 1977)

During the spring of 1976, the Project Team continued to work with the administration in London in a number of ways. By this stage almost all the managers had been

introduced to the mechanics of goal and objective setting and most departments had drafted goals and objectives for their operations. The exceptions were in the Community Services Department, where the Project Team had waited for the appointment of the top administrators before working with the Social Services or Homes for Senior Citizens Divisions.

A number of departments or divisions had become relatively self-supporting as far as goal and objective training was concerned. The Finance and Police Departments had adapted the process to suit their own operations and were using it on a day-to-day basis. A number of divisions, e.g. Systems and Data Processing were also self-supporting as far as the process was concerned, but this was not always a matter of choice.

From the initiation of the LGMP, the Systems and Data Processing Division had been a strong supporter of the process. The divisional managers had committed many hours of their time to the goal and objective setting process in their own division. Consequently, by the spring of 1976, approximately 80% of the operation of the division was being governed by ongoing, problem solving and innovative objectives.

The degree of sophistication of the process differed in various departments. The Personnel Department, for example, had developed a full set of goals as well as a number of ongoing and problem solving objectives. However, it was realized during this development process that clearly delineated responsibilities and a well defined role for the department were required. With this realization the goal and objective setting exercises ceased until these aspects were clarified.

The Clerk's Department had gone ahead with the process and in the spring of 1976, internal goal and objective workshops were taking place at the inter-divisional level.

In general, by the spring of 1976, many managers in the City were using objectives, but there were also notable exceptions, e.g. the Industrial and Commercial Development and Legal Division, which chose not to operate under such a system.

Perhaps the biggest problem at this point was the lack of active support for the goal and objective setting process by the senior administrators of the municipality. Unfortunately, the senior management team of department heads did not emerge from the organizational restructuring as an integrative, problem solving mechanism at the senior administrative level. There seemed to be a hesitation on the part of some department heads to use the team as a forum for frank and open discussion. This meant that department head co-operation and co-ordination was rather weak. Eventually team meetings practically ceased as the CAO worked with each department head on a one-to-one basis. This created two problems.

- 1 Departmental isolationism promoted little corporate or inter-departmental thinking. Goals and objectives tended to be determined around the work of individual departments, rather than being integrated across departments. This caused difficulty for support

divisions, e.g. Systems and Data Processing, and Personnel. Both found that their goals and objectives needed input in the form of the goals and objectives of the line departments. Support departments are only justified in terms of the service they provide to the operation of line departments.

- 2 The second problem involved motivation at lower managerial levels. Lower levels looked to higher levels for support for goal and objective setting. Where senior managers did not develop goals and objectives for themselves, junior managers believed that they were not expected to have goals and objectives. This meant that, in some cases, the goals and objectives process was not taken seriously by those concerned. This was particularly true in the Engineering Department where goal and objective setting was attempted but was not really 'owned' by the managers concerned. Many managers seemed to feel that goal and objective setting imposed a load, over and above their everyday work.

In spite of these problem areas, a good deal of effort was exerted by the Project Team during the summer and fall of 1976 in the following areas.

City Engineer's Department

Even though the commitment to goal and objective setting was not as great as it may have been, the Project had enjoyed a high level of support in the Engineer's Department. The senior managers were particularly interested in holding further problem identification sessions with the divisional managers.

During the summer of 1976, meetings were held through the four levels of the Engineering Department hierarchy. Initially, this involved the engineering senior management team, i.e. the City Engineer, the Deputy City Engineer, the two Assistant City Engineers and the Manager of Administrative Services. Secondly, meetings were held at the division head level with the respective senior manager from the engineering senior management team. Finally, when appropriate, division management level meetings were held in the presence of (in all but one case) the respective manager.

The purpose of these meetings was:

- 1 to identify those areas, either operational or behavioural, in which managers felt that they were being prevented from performing the best job possible;
- 2 to identify areas where resources were being wasted or misused;
- 3 to invite suggestions for overcoming these bottlenecks, wastages, etc.;
- 4 to identify the departmental/divisional management strengths where operations were particularly effective.

In all, approximately 20 problem identification meetings were held in the Engineering Department. The points that were brought forward were condensed and presented to the engineering senior managers in September of 1976. The results of this effort were increased

communication throughout the department as well as the more intangible benefit of lower line managers actually feeling that their input was valued by those to whom they reported.

Following this presentation, members of the engineering senior management team met with their division heads and their staff to discuss the problems raised. As a result of these meetings a number of managers established regular meetings with their subordinates to define divisional problems and to instigate action where appropriate.

The Project Team felt that the results of the meetings in this department provided the potential for far greater change and improvement than that which actually occurred. It seemed that real departmental and individual problems were rationalized away rather than being rectified. This only served to frustrate those who had identified the problems.

City Clerk's Department

At the outset of the LGMP, the managers in the City Clerk's Department were enthusiastic and supportive. By the fall of 1976, the department had a full set of goals which had come through a number of revisions. Departmental objectives had been outlined, and a number had been implemented. Various divisions in the department had measurable objectives and at least one division was holding regular staff meetings in which all employees voiced opinions as to problems facing the division. Following these discussions problem solving objectives were determined and activities assigned to certain individuals.

Throughout the summer and fall of 1976, the Project Leader worked with departmental managers to further develop the goals and objectives of the department, to identify departmental programs, to draw up the necessary formats and to adjust the departmental budgeting system to reflect this program approach. This new format was successfully introduced into the 1977 budget and it helped the City Clerk to justify his operation to the City Council.

Throughout this time the department also worked on revamping the election procedures. This necessitated documenting all the activities involved in carrying out the departmental activities during an election. In all, the City Clerk's Department made a comprehensive effort to use the Project to its own advantage. Its efforts on this score were aided by the appointment of a co-ordinator for Project activities within the department.

Community Services Department

The Planning Division had a complete set of goals by early 1976 and also a list of objectives that had been prioritized according to importance and possibility of completion. Also, a number of individuals in one section of the Division had indicated personal work objectives and were working toward their achievement.

It had become apparent to the acting division head that certain members of the division needed to develop their basic management and organizational skills. Therefore, in the fall of 1976, the Project Team developed training

workshops for the division to cover such management areas as delegation, problem identification and communication. Once these areas had been discussed, objectives could be developed to address the problems identified and to assure that responsibility was allocated in the right way.

A great deal of time and energy was expended by the Chief and the senior officers of the Fire Service. Initially, the Project Team worked closely with the Fire Chief in the formulation of goals for the Fire Service and for the various divisions under his control. Many meetings were held with the Chief and what he called the MBO study group; a group composed of officers that the Chief considered to be the men that would most benefit from LGMP activities, and that could give him representative feedback from the district and platoon chiefs.

This group studied a wide variety of topics ranging from the workings of municipal government in general, to ways in which the Fire Service could improve the delivery of service to the people of London.

One topic in particular that was discussed during those meetings was a long term problem – the lack of consistent performance evaluation and promotional criteria. Meetings were held during the fall and winter of 1976 to discuss such things as why performance appraisals were needed, how an appraisal form should be used, and how a meaningful appraisal form could be developed. Between LGMP meetings the group identified and categorized the skills needed by Fire Service personnel. They then weighted the different skills and characteristics needed by different ranks and drew up an appraisal form to act as an evaluation guide.

Throughout the spring of 1977, the Fire Service continued to discuss and refine the evaluation guide and to develop a standard operating procedure to test it in service. During this time the MBO study group continued to meet to discuss other aspects of their work. At the end of the Project, the process of problem identification and goal and objective setting was continuing.

Project activities in the Social Services Division were restricted until a Director was appointed in the summer of 1976. The new Director was keen to develop teamwork and basic management skills in the division. Although the LGMP staff did not hold training meetings with divisional employees, they assisted the Director in some preliminary problem identification meetings with his staff. The Project Team also did some work toward the development of basic management skills in the division. One meeting, involving staff from both the Planning and Social Services Divisions, was basically a training workshop which concentrated on the preparation and planning needed for report writing and the development of oral communication skills.

The Finance Department

As before, the Finance Department continued to work on its own. One area where the LGMP Team was able to offer assistance was in the development of the budget process. The CAO and Finance Commissioner believed that following the budget development through a com-

plete cycle and obtaining managers' responses to the process could be valuable.

During the fall and winter of 1976, the member of the Queen's Team assigned to London spent a large part of his time interviewing senior, middle, and junior level managers to ascertain their perceptions of the role the budget process served for them and determining their role in budget preparation. He obtained input from all managers regarding their beliefs about ways in which the budget process might be revised, shortened and simplified. He also followed the budget process by attending budget meetings in a number of divisions and departments with the Senior Management Team and with the Board of Control and Council. During this review all administrators involved in the budget process were interviewed for their input.

In the spring of 1977, the information obtained was compiled and categorized, and a comprehensive report, indicating findings and recommendation, was submitted to the Commissioner of Finance and the CAO.

The City Council

The Council in London, as in Ottawa, had indicated an early interest in establishing corporate goals and objectives. As a result of slow progress within the administration and some negative feelings regarding the LGMP within Council this was not followed up until the very end of the Project. The renewed interest was a response to the corporate position papers which had been developed by the Project Leader with Project Team help. These papers summarized former decisions of Council and included an attempt to identify the implicit goals and objectives in various key result areas of City operation.

Four corporate position papers were submitted to the CAO in June of 1976. During the fall of that year two of these papers, in the areas of housing and land use, were reviewed and revised by the senior administrators. Following these revisions, they were submitted to Council to be considered by the elected members. In the spring of 1977, the corporate position paper concerning city housing was presented to the Planning Board for its consideration.

The Mayor was very interested in the implied corporate position on land use. To give this paper special emphasis, a meeting of Council was called to discuss this topic and the discussion indicated that there was considerable disagreement about corporate policy in this area. To address this question a special committee of interested councillors was organized to investigate, with administrative input, the possibility of developing corporate goals and objectives in key issue areas.

In retrospect, the Project did not attain its potential in London during the last year of the implementation of the Project. Aside from following and reporting on the budget process, working with the Fire Department and holding occasional discussions with the Engineering Department, the LGMP had little involvement in the City from January, 1977.

As had been found with the other municipalities, the Project Leader or a senior administrator had to take the

initiative before the LGMP staff could work with managers on management improvement processes. In the Region of Niagara, the Project Leader took that initiative and held and developed the interest of several strong department heads. In St. Catharines both the Project Leader and the City Administrator played those roles. In London, however, the Chief Administrative Officer was in charge of the City's management improvement program and he saw the LGMP's role as one of performing a special function in the area of goals and objectives training. Probably as a result of his own doubts about the Project, he took little internal initiative to emphasize the LGMP Team's role, and interest in the Project gradually disappeared. By the spring of 1977, it was too late to institute a fresh initiative, although, given more time, that might still have been accomplished because there was still positive feeling for the LGMP in most administrative areas.

During the final year the CAO was in the process of establishing a series of task groups containing middle managers to investigate and review management processes; the purpose being to facilitate communication and to develop both managers and management processes. The Project Leader was given the responsibility of integrating the task group activities and those of the LGMP and identifying areas where new approaches to organizational development were needed.

Thus, by the end of the LGMP implementation stage, London had a City Management Development Coordinator reporting to the CAO, the Council was initiating a process designed to establish corporate goals and objectives, and the City's very capable middle managers were involved in a management improvement task group. Although the Project Team had been frustrated by the limited and relatively ineffective role they had played in London, it appeared that the City's program was capable of achieving considerable success in management improvement.

The City of Ottawa

THE PERIOD UP TO APRIL 1976

While the LGMP was being developed in 1972-73, a number of segments of the City of Ottawa's organization were undergoing change involving goals and objectives. A consultant's study of the budget process in 1970 had recommended modifications to the financial system and administrative structure. In 1972, the Finance Commissioner was already involved in establishing goals and objectives and in developing program descriptions. He felt, however, that in spite of the work which had been done in Ottawa, the proposed Project had potential merit in helping to refine the goal statements, in developing objectives, and in obtaining greater involvement of managers in the process. He was interested in using concepts from the Project in his department and was particularly eager to see other departments involved.

Three Departments Become Involved

At a meeting in September, 1973, between the Project Directors and the Committee of Department Heads, the Commissioners of Physical Environment, Finance and

Community Development indicated their desire to proceed as soon as possible. These three departments constituted approximately 85% of the City's administrative staff. The meeting concluded with the understanding that those departments which had not opted for inclusion could do so at a later date.

In this respect, Ottawa's involvement in the LGMP was unique from the outset, in that only three City departments, Community Development, Finance and Physical Environment took part. The other five departments, Executive Services, Fire, Legal, Personnel and Police, indicated that they preferred to be excluded during the initial stages, as did a special department which operated the City's football stadium, Lansdowne Park.

At the next meeting with the department heads in May, 1974, it was decided that further steps in the Project's approval in Ottawa would be the responsibility of the commissioners of participating departments and the Project Directors. To provide the three commissioners with a better idea of what the Project was attempting to accomplish, the Project Directors then called a meeting to present examples of municipal goals and objectives. This meeting also involved a discussion of Project implementation and the potential involvement of Council. The first draft of a proposal to the Board of Control was also reviewed. This proposal outlined the Project and indicated that a group composed of two elected representatives, the commissioners of the three participating departments, and a designated Project Manager would oversee the direction of the Project.

The topic of Council involvement in the Task Group was discussed at some length and it was finally agreed that in the early stages the group should consist only of members of the administration. It was decided that a team of trainers would be established including one staff member from each of the three participating departments. A senior staff member was appointed from the Department of Physical Environment to oversee the activities of the three departmental representatives, to conduct 'in-house' training, and to plan departmental and other seminars, on a part-time basis.

The contract between the Province and the City was approved by Council on July 10, 1974. Senior level goal and objective setting workshops began in April, 1975. The first workshop was attended by the three commissioners and fourteen branch directors of the three participating departments (Physical Environment, Community Development and Finance). Emphasis was placed on the problems involved and the procedures required to set integrated goals and objectives both among and within departments. A part of the workshop was also devoted to practice in the setting of departmental and inter-departmental goals.

Even in this early meeting, there was a stated need to involve Council in the LGMP processes. The previous election had resulted in a 60% Council turnover, and the administration was concerned about the possibility that there would be many rapid changes in Council policy which might upset administrative goals and objectives, no matter how carefully these were determined. A number of alternative methods of involving

Council in the LGMP were discussed, but no decision was reached on Council involvement during this workshop.

A second key issue that had emerged this early in the Project, was the need for inclusion in the Project of the non-participating departments.

A second workshop was held in May to review departmental and branch goals and the participants practiced the development of problem solving objectives. This workshop followed budget approval by one day and discussion centered around the application of goals and objectives to the budget.

The third workshop was held in June, 1975. It concentrated on a discussion of strategic and corporate planning. There was a need for integration at the upper levels of administration and the input and involvement of a senior administrative group was necessary to determine how the Project might incorporate the potential of both the administration and Council.

Ottawa's ability to carry out strategic planning was questioned by many administrators as a result of the powerful external forces which affected the City (e.g. the Federal Government presence operating through the National Capital Commission, the Regional Municipality of Ottawa-Carlton, the neighbouring town of Hull, and the Ontario and the Quebec Provincial Governments, both of which had interests in developments in the Ottawa-Hull area). Therefore, a key problem with strategic planning was the continuing need to integrate and commit all levels of government to a long range plan which might constrain or control subsequent political decisions.

The discussion highlighted the need for a better understanding of effective management practices in general including improved co-ordination and co-operation at the administrative level and between administration and Council.

After this workshop the Project Staff worked with the branch directors, particularly in the Physical Environment Department to complete objective setting training to the divisional level and to begin to develop objectives for support services. Some senior level managers rapidly grew disenchanted and impatient because goals and objectives were not proving to be of practical benefit to them and they needed specific guidance in how to use the process on their jobs. Many found it difficult to devote the necessary time to Project activities. While some managers were intentionally restricting their efforts and involvement, others were finding the application of concepts difficult, while still others were applying the new ideas in their own way and were not relating openly with the Project Team or with other administrators.

These problems were addressed in a subsequent meeting in October. At that time complaints showed dissatisfaction, particularly in the Physical Environment Department, with what was considered to be an overly theoretical approach. The discussion revealed a good deal of cynicism among the participants regarding the potential for an LGMP contribution to City manage-

ment. In fact, the three department heads seemed to provide the only impetus for the Project. Branch heads outside of the Finance Department generally seemed reticent to get involved, and most division heads felt that little would be accomplished. They perceived little inter-departmental communication at upper administrative levels and felt that there was limited co-ordination and mutual understanding between Council and the administration.

It quite quickly became apparent that a large part of the problem lay in the fact that a reorganization, which had taken place after a consultant's report three years earlier, had never been fully instituted. The Commissioners of Community Development and Physical Environment were still struggling to integrate several previously independent departments as branches under their respective leadership. The branch heads did not openly resist the LGMP but did not support it either, probably feeling that a process of passive resistance would succeed in protecting their independence, as it had in the past, and the LGMP would eventually disappear.

During the fall of 1975, just as the Project was getting underway, the Commissioner of Community Development and the Directors of the Urban Development and Planning Branches of that Department resigned. From the early stages of the Project it was clear that the Community Development Department was experiencing the most significant managerial problems in the City. Key among these was the ineffective use of managerial time and general confusion resulting from the lack of integration, communication and co-ordination among branches. These problems culminated in a request for the three resignations by an 'in camera' decision of the Board of Control. Dismissals such as this naturally create insecurity but in this case the tension was abetted by a subsequent nine month hiatus before replacements were obtained. These resignations brought the Project to a standstill in all but one branch of the department.

This lack of action to replace missing administrators reflected the relationships which existed between the Council, the Committee of Department Heads, and the general administration. The relationships here were not strong; even department heads themselves seemed to lack confidence that the Committee of Department Heads could perform an effective co-ordination and control role.

Overall leadership, a sense of direction, the need to operate as a senior management group handling City-wide and not just departmental matters, effective co-ordination - all these areas, the commissioners felt, needed to be addressed by the Committee. It seemed that underlying these concerns an attitude of isolationism and possibly distrust had developed. As a result, common concerns were being handled by the Committee 'at arms length', individually as suited each Commissioner or, sometimes, not at all.

In October of 1975, the LGMP staff approached this Committee to seek their involvement in the Project in an attempt to:

- 1 improve inter-departmental co-ordination and co-operation;
- 2 promote the development of consistent administrative policies in a number of areas;
- 3 clarify the structure, role and eventually the goals and objectives of the Committee; and
- 4 work toward the development of a set of corporate goals and objectives for the City and a consideration of the respective roles of Council and the Committee in this process.

This meeting ended in indecision, however, and another meeting was scheduled to be held later in which the LGMP Team and Project Leader were to present a concrete report on the benefits of the Project to date. The Committee of Departments Head waffled on that meeting, however, and there was a series of cancellations and delays until Council intervened and the meeting was finally held in April 1976.

In the meantime, at the urging of certain members of Council, a joint Council/Administrative briefing and discussions on the LGMP took place in February 1976. This meeting was intended largely to inform Council regarding Project progress to date and to initiate a discussion concerning its involvement and role in the Project. Project plans for actual Council involvement had not been solidified at this point, since the original intention was that Council would not be approached for actual involvement until the administration had become thoroughly acquainted with the Project, were using the system of goals and objectives as a part of their normal operations, and had specific ideas in mind as to how they would like to see Council involved.

Although numerous questions were discussed, three basic issues dominated the discussion. First of all, the councillors were keenly interested in the attitudes of the participating departments to the program. With morale in the administration quite evidently low, the members of Council were open to advice and suggestions as to the means of resolving the uncertainty and insecurity which characterized the administration.

The second issue which concerned the councillors was the feeling that non-participating departments should become involved, in fact, one alderman suggested a motion by Council to direct the other departments to enter the Project. At this point, a number of alternative modes of involvement in the Project were presented to Council; a subsequent meeting was scheduled for April to consider these alternatives in more detail.

On April 2, 1976, the long delayed Committee of Department Heads meeting took place. Chaired by the Mayor, the meeting was attended by only four commissioners and three branch directors. This apparent lack of interest on the part of administrators was particularly significant, considering that Council had just expressed a strong interest in greater administrative involvement. During the discussion the Mayor gave the first indication of his perceptions of the Project. It was his feeling that the educational aspect alone was sufficient justification for the Project. The Mayor was con-

cerned that some City Hall staff did not devote adequate time to examine what they were doing on their jobs, what they wanted to accomplish, and how they could accomplish it more effectively. He saw the Project as providing the drive necessary to convince administrators of the need for this type of thinking.

While not completely endorsing the Project, the Mayor indicated that he wanted to see the Council become involved. All the department heads present showed at least a reluctant willingness to participate and a list of recommendations was drawn up, to be presented for approval on April 5, at a regular meeting of the Committee of Department Heads.

It is interesting to note that this matter was only cursorily mentioned at the next Committee of Department Heads meeting and for the next month the weekly meetings of the Committee ignored the recommendations. Finally in May, over the strong objections of the Commissioner of Physical Environment, the Committee agreed to a much different approach and decided upon a proposal to be submitted to the Board of Control for approval. The proposal recommended the following:

- 1 that the three departments presently involved in the LGMP continue their involvement;
- 2 that City Council become involved in the Project and that the Queen's University Team prepare a proposed implementation strategy for Council; and
- 3 that, subject to approval of the first two recommendations, a full-time position of Project Manager be created on contract basis.

THE FINAL PERIOD (FROM APRIL 1976 - JULY 1977)

By April, 1976, the Physical Environment and Financial Departments and their branches had produced at least a limited set of goals and objectives. However, several things had happened which tended to divert administrators from sincere involvement in the Project.

Specific factors contributing to the downgrading of Project activities included:

- 1 The delay in hiring new senior administrators in the Community Development Department.
- 2 The pressures placed on the Commissioner of the Finance Department who was also acting Commissioner of Community Development.
- 3 The many delays and postponements of Council and committee workshops.
- 4 Resistance to the Project on the part of several senior administrators.
- 5 An ongoing restructuring process in both the Physical Environment and Community Development Departments.
- 6 In all, by this time, seven administrators had been asked to resign, replacements were slow, and the morale of the administration was suffering.

Partially arising from these issues were more important concerns such as the need for involvement of the non-participating departments, the Committee of Depart-

ment Heads and the Council. The participating departments felt that involvement of the other departments and the Council was critical to the improvement of management effectiveness in the City because:

- 1 non-participating departments were mainly those that supplied support services to the large participating departments and those support services needed to be better designed and integrated to meet operating department needs; and
- 2 Council involvement was needed to provide a centralized focus, to reward administrative effectiveness, to co-ordinate top level (corporate) problem solving and to provide executive policy where required by the administrative team.

The Commissioner of Physical Environment, for instance, was concerned that the Personnel Department was not involved in the Project. He believed that particular types of Personnel support were necessary in helping him to achieve his objectives. On the other hand, non-participating departments appeared to be desirous of evidence that the Council was prepared to perform an integrative corporate role in the City and to work toward the development of clearer longer term objectives for the City, before they would commit themselves to involvement in the program.

One way of approaching these issues would have been through the Committee of Department Heads. This could have been a valuable vehicle for ensuring that co-operation existed between the different departments. Unfortunately, the Committee of Department Heads did not operate effectively to fulfill this role.

More than in any other municipality, the Project in Ottawa indicated the very clear need for a corporate orientation to management in local government and for an administration capable of offering consistent and broad scope advice to Council. It also clearly identified those management areas where a department head could act unilaterally to improve management in his department and those areas where he needed the involvement and co-operation of other managers.

This discussion will continue by reviewing events within departments and at the Committee of Department Heads and Council levels.

Physical Environment Department

All administrators at the branch, division and section levels had been involved in the objective setting process by April, 1976, and, in many cases, were setting useful objectives for their areas of responsibility. This process had not taken place as quickly as it might have, however. Changes in structure recommended by the 1972 consultant's report were still being implemented. This slowed the Project somewhat, making it necessary to 'reconstruct' some of the goals, objectives and associated responsibilities to match the new structures. These structural changes had been proposed in order to concentrate all the labour and trade oriented activities in the Physical Environment Department. Many more jobs were added to this department in the process. The divisional and branch changes created some difficulties

in relating individual skills and abilities to particular jobs.

As a result of these problems, the senior managers in the department decided to restrict goal setting to the departmental level and allow branches and divisions to set objectives but not goals. With this sort of arrangement it was most important that a review process be set up to ensure that the different aspects of goal and objective setting were co-ordinated. Much of the work in this department during the last year of the Project centered around the development of such a process. In fact, perhaps the chief accomplishment of the Physical Environment Department during this phase was the gradual development of a unique team approach to goal and objectives review.

The review process that was developed was quite extensive and involved monthly meetings at all four management levels. The process began with a meeting between each division head and his section heads to review specific accomplishments over the preceding period. Any problems encountered, delays or necessary changes to be made, were then taken to the next level where branch directors met with their division heads. These meetings provided opportunities to resolve any problems highlighted at the lower levels or to bring forward inter-branch or inter-divisional problems. Any unresolved problems at this level were then taken by the branch directors to the departmental level and were reviewed with the commissioner. Changes and updating necessary to keep the process current and meaningful were also discussed.

One branch that was not particularly successful with this process was the Building and Equipment Branch. This Branch had particular problems that were addressed through a number of problem identification meetings involving branch and LGMP staff.

The development of the review process and problem identification meetings continued until the fall of 1976. By this time the commissioner was becoming impatient with the process. Quite understandably he wanted to implement all of the objectives that had been developed but was restricted in doing so by the status of the Project in the other departments. He had moved at a much faster rate and was keen to interlock his department more closely with the others. However, the support departments upon which he was forced to rely had not developed objectives and were not prepared to participate in corporate problem solving.

Finance Department

The top Finance Department managers were a relatively proactive and innovative group. Very early in the Project these managers had grasped the important concepts and were using them in their own way to develop their own operations. Consequently, by the spring of 1976, the department had already developed operating sets of goals and objectives for each of its divisions. A working review process was also in operation by this time. The Finance Department had the benefit of being a relatively small department. Also its personnel had experience with a process similar to the LGMP as the commissioner had taken steps to introduce a limited form of program

budgeting. These factors certainly helped the department to reach a relatively advanced system of management by the spring of 1976.

In mid 1976, the Program Budgeting Director, in a series of meetings with the Ottawa Project Leader, spent considerable time discussing the budget and its place in the Project. As a result of the recommendations of a consultant's study, the budget for the previous three years had been prepared in a program and activity format with objectives and indicators for each program. The purpose of this format was to stress to the elected level the reasons why any one main area of expenditure was needed rather than just giving indications of expenditures.

In an effort to further refine this process, a plan was developed to make the format more meaningful by directly relating the goals and objectives developed in the participating departments to the budgeted figures. Thereafter, the general statements (objectives) which had appeared at the top of the budget sheets were to be revised in accordance with newly developed goals and would be redesigned as purpose statements. Also, the term 'indicators' which simply designated dollar amounts attached to man-hour totals, supplies, or gross objects of expenditure were to be refined to reflect actual measurement of the achievement of objectives.

This plan was not fully implemented during the life of the Project because there was some disagreement about the future format of the budget and the fact that several departments did not have goals and objectives. In the fall of 1976, the entire budget process was brought forward for review. At that time a Resource Management Committee was established, composed of middle managers (one member from each of the departments and one from each section of the Finance Department) to look into all aspects of budget preparation and to review budget procedures at Council and all administrative levels. Of particular concern were the budget time-table guidelines, long-range planning priority ratings and budget format. The review was inter-departmental and its objectives were as follows:

- 1 to provide a better insight into City operations through the budget;
- 2 to make the budget formulation process a more effective planning exercise for both the short and long term (since no other form of corporate planning was taking place); and
- 3 to standardize the format of departmental reports as much as possible and to keep the flow of paper to a minimum.

This committee, with the LGMP in an advisory capacity, was established to determine the information needed for financial planning and also for corporate planning and financial reporting. Once these information needs were determined they could be incorporated into the information system. In the fall of 1976, each department set out to document the departmental process that took place after the budget call from Finance. This information was also intended to help in streamlining the process and in making it more valuable.

In October, 1976, the LGMP Team and the Finance Department held a meeting to discuss departmental goals and objectives and to arrange for the establishment and implementation of a review process. This review process, which included both individual and team reviews, was not adopted because senior Finance Department managers felt that individual performance reviews were not suited to their purposes. They were already carrying out team reviews.

Community Development Department

From the fall of 1975, the emphasis of the Project changed from inter-departmental workshops and meetings to workshops with each participating department. From this point each department progressed at a different rate.

The Project was able to contribute very little to the Community Development Department. In the fall of 1975, three top management personnel had left the city, and the Commissioner was not replaced until July, 1976. A new Director of Planning was hired two months later. The new Commissioner immediately began to reorganize the department and preferred to wait until the re-organization was complete before developing goals and objectives.

A further problem resulted from the fact that morale in the department was quite low because of the restructuring and the turnover of top administrators. This problem remained until well into 1976 and the fact that it was the subject of newspaper articles underlines the degree of tension and job insecurity that continued to exist.

The one exception, in terms of Project involvement, was the Recreation Branch. There the LGMP Team had been requested to help in a joint program involving the branch, the Board of Education and a number of community groups. The task was to develop a set of goals and objectives that would not only give the program direction, but that would also help those involved to evaluate the success of the program. The program involved an attempt to train citizens in four chosen neighbourhoods to successfully operate their own after school and evening recreation and educational programs at the local schools. Once the program had been tried and evaluations had been made, the participating agencies could assess the feasibility of enlarging the program and allocating more resources to it. Indeed, the first evaluations indicated that the program had been a success and a final report recommended that the Project be enlarged from four districts to twelve.

Apart from this exception, however, the Project had essentially ceased in this department and although it would continue in the Finance and Physical Environment Departments, a good deal of continuity was now lost and the limited effectiveness of working with only part of the administration became even more apparent.

Committee of Department Heads

As described previously, the Committee of Department Heads had essentially reversed the expressed desire of Council for full departmental involvement in the LGMP.

On June 7, 1976, Council approved the Project for the coming year with no change in participating departments and for a presentation by the Queen's Team of potential alternatives for Council involvement.

Prior to the Council meeting of June 21, where the Queen's alternatives were to be considered, the Committee of Department Heads made a request that the Queen's report on Council involvement be referred to them prior to any vote being taken by the Board of Control or Council on the alternatives. On June 8 the Board of Control gave approval to a request by the Committee of Department Heads to refer the Queen's recommendation back to them so that they could consider the various alternatives.

At a subsequent meeting, the Committee of Department Heads, after studying the Queen's proposal, recommended to Council: 'That the Committee of Department Heads act as the co-ordinating body for purposes of developing goals and objectives for Council consideration, with a view to completing a tentative set for Council consideration in the spring or early fall of 1977.'

What was really occurring, of course, was a process of intentional delay by the non-participating department heads who were correct in assuming that the Project would eventually go away if they could delay it for a sufficient period of time.

City Council and Council-Administration Relationships

Certainly the most interesting and revealing happenings in Ottawa in this period took place at the Council/Administration interface. As already mentioned, the Project Team held its first real session with Council in February, 1976, to discuss the Project and to brief the Council on progress to date. At this meeting three major problems were identified.

- 1 The Community Development Department was having serious management problems, particularly with co-ordination and integration.
- 2 The support departments, Personnel, Legal and Executive Services should be involved in the Project.
- 3 The Committee of Department Heads was not an effective decision-making body.

Also at this meeting the Council was presented with a number of alternatives for Council involvement in LGMP processes. The LGMP Team leaned towards the recommendation that the Council and administration should hold joint workshops in which problems with City management were identified and solutions sought to deal with the most pressing problems. The Council expressed interest in what had happened within the administration and committed itself to involvement in the Project in the future.

By July, 1976, it had become evident that the support departments of administration did not wish to get involved in the Project, which meant that the Committee of Department Heads itself would not become involved.

Since many councillors desired both administrative and Council involvement, Council tried to set an example by agreeing that Council itself should begin problem identification sessions with the administrators. On July 28, Council unanimously approved a Project recommendation regarding its own involvement in goal and broad objective setting for the City of Ottawa. This recommendation included two major forms of Council involvement:

- 1 the participation of the present Council with senior administrators in management improvement workshops, as soon as possible; and
- 2 the recommended participation of the 1977-78 Council with senior administrators in the determination of goals and broad corporate objectives for the City of Ottawa, early in 1977.

As a preliminary for these sessions, and to take advantage of the experience of the present Council, the advice of incumbent councillors and controllers was sought by the Project Team, as were the feelings of the administrative commissioners, regarding the perceived strengths and weaknesses of the overall management of the City of Ottawa. The purpose of these confidential interviews was to accumulate individual viewpoints as to which issues or management areas should be emphasized in any attempt to improve municipal operations. These interviews were conducted in August, 1976, and at the end of that month the comments were gathered, consolidated and categorized into major areas of strength and weakness, and specific and general problem areas were outlined.

The first Council/Administrative workshop was held at Ottawa City Hall on September 13. It was attended by twelve elected members out of fifteen and nine administrators, being limited to departmental commissioners or their representatives. The purpose of this first workshop was to confirm, clarify and prioritize the strengths and weaknesses identified, with the intention:

- 1 of providing recommendations for methods of maintaining and accentuating the development of those areas in which management strengths had been identified;
- 2 of recommending specific joint Council and administrative action to counter weaknesses, in those cases where action under the incumbent Council was considered advisable; and
- 3 of providing recommendations for the incoming councillors regarding actions which they should consider in those cases where the solutions required long term efforts by Council and administration.

At this workshop, the councillors and administrators formed into discussion groups to discuss the results of the interviews that had been held. The comments made in these interviews fell into five main areas needing clarification, discussion and action:

- 1 management processes and procedures;
- 2 communication, co-ordination and trust;
- 3 employee morale;

4 handling of citizen input; and

5 overall planning for the long-term and priority setting.

The second workshop, held on September 22, was designed as a follow-up on the first. Eight elected members and eleven administrators (including members of the Project Team in Ottawa) attended, to discuss the strengths and weaknesses identified in the earlier workshop and to identify and consolidate their ideas and suggestions. An attempt was made to identify and clarify the management problems identified and to consider some potential solutions. The need for effective management processes and procedures received the most emphasis.

A third workshop was called on October 6, essentially to decide on action to be taken as a result of the problems and recommendations discussed earlier. Council attendance at this meeting was poor, with six elected members and eleven administrators, including four members of the Project Team. Disatisfaction with this attendance was expressed by the members of the Council, the administration and the Queen's Project Director. While no changes in processes or procedures resulted from this workshop, a number of suggestions for further consideration were made:

- 1 more comprehensive orientation sessions for new councillors;
- 2 new procedures for expediting city purchase options;
- 3 a review, by a joint committee of Council and administrative personnel, of subdivision approval procedures and procedures used in major land use studies and zoning changes, and a streamlined budget approval process.

Following the third workshop, it was agreed to postpone further meetings until the new year, as campaigning for the upcoming election was making attendance by councillors difficult.

In spite of the failing attendance, these workshops were probably one of the most valuable Project achievements in Ottawa. They provided an opportunity for the councillors and administrators to meet in an informal and open manner to discuss major policies and issues which, under normal circumstances, might never be discussed, or which might get lost in a long drawn out series of official reports, clarifications, motions, etc. The short-circuiting of the normal means of conducting Council business which the workshops provided was also valuable in that it allowed the elected officials more time to become involved in an in-depth analysis of issues and their resolution, rather than just being involved in the approval process. In addition, both Council and the administration became better acquainted with the problems and frustrations involved in the exercising of each other's responsibilities. There was also a free exchange of views between the Council members and the department heads and the informal atmosphere (all workshops were held in the alderman's lounge, to which the press were not admitted) expedited frank

discussions and reinforced a feeling of mutual concern for the smooth running of City business.

From the Project Director's viewpoint the workshops were too short, they were held in City Hall and, therefore, were subject to interference, and the atmosphere unquestionably influenced the motivation of participants. Such meetings are better held away from City Hall and the minimum length of a workshop of this type should be a full day.

In January, 1977, a meeting was held with the new Board of Control. This meeting had the potential to be an important first step towards the development of a systematic approach to management improvement in the City of Ottawa. At the meeting, councillors were able to identify a number of priorities and some areas where they felt management improvements were possible. The concerns expressed by the councillors seemed to fit into four main categories.

- 1 Concern that the machinery of the City's government was not working effectively enough to allow councillors and administrators to work together to establish a set of City goals and broad objectives, or to allow the Council to act in a policy making capacity rather than getting too involved in administrative detail.
- 2 Concern that more or different emphasis should be given to the services being provided for Ottawa's citizens.
- 3 Concern over the methods of improving communication with the public, of obtaining more public input to municipal decisions, and of involving citizens to a greater extent in the provision of certain community services.
- 4 Concern over the effective interaction of the City with other governments and agencies.

At this meeting, the Project Director recommended certain directions and actions that the City could take to address its problems. Once again the resources of the LGMP were put at the disposal of the Council if they wished to follow up on this meeting.

In March, 1977, the city management was thrown into a turmoil when the Physical Environment Commissioner gave notice of his resignation in protest of a decision by the Mayor and Board of Control. In December of 1976, the Mayor had received a letter from a Physical Environment Department employee which alleged management shortcomings and thefts in the de-

partment. This letter was passed to the department for the department head's reaction and reply to Council. On March 22, Council voted to endorse the Mayor's decision to order an in-house inquiry into the department's operations. This inquiry was to be conducted by the Committee of Department Heads. The Environment Commissioner took exception to the ordering of a probe to be conducted by his peers, without previously informing him of that decision, and tendered his resignation claiming that the investigations reflected on his reputation and credibility and also upon that of his entire management team. At the same time a branch head, the Director of Engineering and Surveys, tendered his resignation. A few days later the Department's operations engineer also submitted his resignation, as did the Director of the Administration Branch. This latter administrator was also acting as Project Leader for the LGMP in Ottawa. He felt that the Physical Environment Commissioner was one of the most positively motivated managers in the City, and one who was trying to make optimal use of the Project ideas and resources. With the Commissioner gone the Project Leader felt that the minimal support that currently existed for the Project could not be sustained.

Following the tendering of these four resignations the Mayor and Council continued with the inquiry into the Physical Environment Department but not through the Committee of Department Heads. Instead, a committee of citizens with management expertise was appointed to investigate the Physical Environment Department. These investigations were to be held 'in camera' with meetings held outside City Hall.

While the investigations were taking place, the Queen's staff met with the Board of Control to discuss the future of the Project and future Council directions. At this meeting many of the problems identified at the Council/Administrative workshops were again brought forward and, while Board of Control was obviously concerned and anxious to get the City back on its feet, no clear directives emerged.

The report of the investigation committee was positive regarding the efforts which the Commissioner of Physical Environment had been making to improve departmental effectiveness. It identified many of the same management problems that have been discussed in this paper.

Part II

THE ORIGINAL CONCEPT OF THE LGMP

The LGMP was designed as a long term experiment to determine what type of management improvement program might be feasible in local government. After an investigation of possible management improvement techniques, the Project Directors decided that a requirement for direction in the form of goals and objectives was a common element in almost all of them. Thus, the Project began with an attempt to provide goal and objectives training at all levels of management including council. The process was initiated at the senior administrative level because it was felt that expertise at that level was needed to guide council in the determination of corporate objectives. Senior administrators could also act as a motivating force for junior administrators and could provide them with guidance in the process, once the senior administrators had been trained. Early workshops emphasized the idea of an 'umbrella' of corporate goals and objectives, with contributing goals and objectives at each succeeding lower level of management.

The plan had been to incorporate other required management improvements, through the goals and objectives process, as the need was recognized during the program. It was expected that administrators would recognize the need for improvement as they examined their jobs and redefined their purposes and functions. The management improvements were expected to be stated in the form of problem solving and innovative objectives as the goal and objective training took effect.

A CHANGE IN PERSPECTIVE

As the Project developed, however, the Project Directors began to recognize a number of factors that were having a major influence on the Project's success. For instance:

- 1 many administrators had a need for fundamental management education;
- 2 there was a need for clarification of purpose and roles, most particularly at the upper levels of local government;
- 3 the success of any program was dependent upon its ability to meet the perceived needs of councillors and administrators;
- 4 the feasibility of management improvement was dependent upon the management climate in the municipal organization, and the degree of co-ordination, integration and management sophistication which existed; and

- 5 different requirements existed in different technical areas as a result of vastly different approaches to management.

The Team began to recognize that individual managers had different rates of learning and different levels of willingness to learn. Even when managers were willing, changes in management approaches were usually difficult for the individual and took place slowly. Managers did not readily relinquish tried and tested behaviours. They changed their behaviour patterns, however, if they had sufficient reason to believe that the end result would be positive, if they were encouraged to do so, and if there were rewards for those who changed. It was found that even position changes could rarely be forced on managers, each had to accept the process and undergo the process as an individual. Change did not occur quickly and was to an extent, a trial and error process, the structure and timing of which changed from individual to individual.

As a consequence, the Project developed in different areas and at different rates across divisions, departments and municipalities. Over the length of the Project, the primary concern of the Project Team became less directed toward goal and objective training and more towards identifying the most appropriate management processes, given the situation, personalities, traditions, etc., and to introducing these processes in the most appropriate way. In essence, the Project attempted to determine what type of program, under what conditions, might be successful in improving local government management.

THE REVISED LGMP

Thus, the LGMP itself changed in form and nature as the implementation took place. Rather than a test of the application of an externally derived concept, it too, was a trial and error learning process, still applying theory and preconceived processes, but in response to the identified needs of management.

The Project Team gradually developed a new understanding of the whole process of individual and organizational change and, in particular, the application of change to the needs of local government. A chain of major factors was identified which tended to influence the type of management improvement program which was most feasible in a particular situation and which was most likely to succeed. These factors included the following.

- 1 The motivation which existed for management improvement.

- 2 The degree of flexibility and relevance of the program which was available for implementation.
- 3 The individual capability of the managers involved, including management sophistication, skills and ability to change.
- 4 The characteristics of the organization itself, including the management organization and systems.
- 5 The extent of council involvement.

Although the factors which have been identified as influencing management improvement are highly inter-related it appears advantageous to examine each of them separately.

1 Motivation For Management Improvement

Unless a significant number of councillors and top administrators see the need for change and can identify some potential benefits either for the municipality or for themselves (or preferably for both) any major management improvement program is doomed to failure. One of the first steps in management improvement is to obtain the genuine support of both the council and administration.

MOTIVATION AT THE COUNCIL LEVEL

Obtaining solid backing and support from council for management improvement is quite difficult. The LGMP staff found that almost all councillors and administrators genuinely wanted to do a good job and would promote management improvement programs if they felt the programs were valid. On the other hand, the validity of programs is always questionable because their success is dependent upon so many factors. Management improvement requires a good deal of effort and usually means some disruption of the status quo and thus some form of concrete motivation is usually advisable. In addition to a personal desire for a better municipal operation, councillors might be motivated to change as a result of :

- a joint problem identification workshops with the administration that can help in defining the more urgent issues requiring resolution;
- b a thorough study by administrators of recent (five years) decisions in particular issue areas (e.g. transportation) plus an outline of potential alternatives;
- c identification of problem areas in management through a consultant study;
- d the improvement of public awareness of the requirements of local government management through the publicizing of relatively simple models of an effective municipal operation;
- e the withholding of funds by the Province unless an effort is being made to implement an effective management process;
- f pressure by the public and/or the press which could result from 'a, b, c, or d', above or some apparent problem in municipal decision-making; and
- g offers of help by the Province in setting up programs, selecting and hiring consultants, etc.

These alternatives are not necessarily recommended although the LGMP staff feel that they are feasible. Conditional grants have been used, e.g. through the Ministry of Transport and Communications for the Municipal Maintenance Management program but both alternatives 'e' and 'g' have political connotations which are better left to elected people at the municipal and Provincial levels.

Councils in the four Project Municipalities generally displayed very little concern with management improvement at the outset of the LGMP. In St. Catharines, the administrators took the initiative and brought numerous corporate issues to the attention of Council. With these very real issues providing a focus, councillors became very interested and subsequent joint Council/Administrative workshops were highly useful from the viewpoints of both councillors and administrators.

In London, the Council lost interest when the LGMP Team did not attempt to meet the expressed desire for a program budgeting system early in the Project. In retrospect, this was probably an error on the part of the Project Directors because a process could have been developed to supply the Council with position papers on major issue areas. These would have provided a focus for active Council involvement in goal and objective setting and would have provided a base for program budgeting.

Eventually, the CAO in London developed position papers on some major management issues in the City. In the process of reviewing these, the London councillors came to realize how diverse, disorganized and inadequate their own appreciation of the issues were and a corporate management development process was initiated.

Several councillors in Ottawa expressed a strong interest in the Project during the latter phase, partially as a result of morale problems and confusion within the administration. Unfortunately, the interest was not general enough or sustained for a long enough period to have a major influence. The Ottawa Council also hesitated to take a strong lead in putting pressure on a number of top administrators to participate, and without this initiative the potential success was limited.

The very large Council (29 members) in the Region of Niagara was rather finely balanced politically. Conflicts were resolved through compromise and trade-offs and few really Regional decisions were made. Generally, those councillors who became well acquainted with the LGMP were strong supporters, but there was also a group of councillors who feared that the LGMP processes would create conflict by upsetting the political balance and would also give administrators too much say in Regional decisions. Thus the perceived dangers outweighed the perceived advantages.

Most councillors had difficulty in visualizing the form and role of corporate goals and objectives and where they had tried to establish them in the past had generally found the experience non-productive. The LGMP staff are convinced that councillors and administrators need to work together, first of all in problem identification

and then in setting objectives, to overcome those problems. Written reviews by administrators of past council decisions on various management issues (e.g. housing) form a useful base for corporate goals and objectives. Alternative approaches to the determination of corporate goals are covered in some detail in *Corporate Management: Its Role in Local Government*.

MOTIVATION AT THE ADMINISTRATIVE LEVEL

The motivation problem is less complex for administrators. A belief that the program is viable and that both the program and effective management will be supported by council is probably all that is necessary. Support at lower administrative levels will be stimulated by the involvement, example, and desires of higher levels.

Before support is likely or even possible, the aim of the improvement program needs to be clearly identified and, if practical, a picture of the anticipated end state of management should be conveyed. This requirement is made more complex by the fact that each manager will probably want something different from a management improvement program because his needs are unique. Thus, he must be able to relate the management improvement process to his own way of operating. He must come to 'own' the process; to apply it in his own way to meet his own needs. This means that the program must be flexible and yet must have some specific targets for management improvement.

MOTIVATION AT THE INDIVIDUAL LEVEL

Ideas and concepts can be presented to a manager through seminars and workshops, but unless he is able to apply those concepts to his own situation and to obtain positive feedback for trying, plus constructive feedback to tell him how well he is applying the concepts, he is unlikely to make them work effectively. Motivation to try to apply the concepts can come from the individual's superior or, as the LGMP staff found in many cases, from the individual himself. In either case he needs a supportive climate while he tries out the new technique. In cases where individuals took the initiative they were usually aware of problems in the area under their control, and were seeking a way of addressing them. In London, two middle managers in particular were very quick to grasp the goals and objectives processes and to see the implications of adopting them. They worked with their staffs to organize their divisional activities around stated goals and objectives. This process worked very well for activities within their divisions. In these two cases, however, the divisional work load could not be determined entirely within the division. Both were support areas which looked to the service or line departments for requests for service. Once the line departments had set goals and objectives, and had identified their support needs, then the support divisions could respond to meet those needs. Unfortunately, the line managers in London did not clearly define their needs and both of the divisional managers in question were somewhat frustrated as a result. Where the individual who recognized the value of the LGMP was in a line position rather than support position, the Project was sustained and developed within that division or department. A good example was the

Department of Physical Environment in Ottawa. In this department the commissioner was keen to incorporate the goal and objective process. As noted in Part I, this department established goals and objectives throughout its entire operation and late in the Project incorporated a review process to refine the system. The commissioner also recognized co-ordination and co-operation problems with support departments. In this case, however, the support departments would not acknowledge their support function for line department goals and objectives.

ACCEPTANCE OF LGMP PROCESSES

Enthusiastic managers will encourage their subordinates and provide assistance where necessary. As has been discussed in *The LGMP Experience: Phase II*, managers do not quickly change their behaviour in response to verbal exhortation or merely by becoming aware of a different approach, even when the manager who is expected to change agrees with the need to change. Managers usually have difficulty relinquishing behaviour patterns that have been established over a long period of time. When they do change, voluntarily, they learn by a trial-and-error process, moving in small steps from the way they presently manage to the way they would like to manage. If each step is not positive and reinforced the manager may step backward rather than forward. New behaviours must be attempted and gradually shaped through feedback from other members of the organization and from an internal or external advisor. In these circumstances a supervisor can play an important role in encouraging and rewarding the type of behaviour he desires within his own organization.

The LGMP staff found that encouragement and constructive feedback was an important motivator in a system that provided very few organizational rewards for management improvement or efficiency. This was found to be the case in St. Catharines where the senior administrator supported the concept of management development and recognized the potential of the LGMP. He openly and readily encouraged his department heads to become involved and assisted them to do so. Through his efforts and the efforts of the other senior administrators, the elected members also became involved and began to work more closely with the administration.

In general, it is true to say that when department heads worked with their staff, considerable pay-off resulted. Unfortunately, the reverse was also true. Junior managers tended to look to higher levels for guidance as far as the LGMP was concerned. If the senior management took the initiative and provided leadership by setting goals and objectives for themselves and their activities, the junior managers would follow. If senior managers did not provide direction, junior managers tended to not embrace the concepts and give their best efforts.

This was particularly noticeable in London where the CAO did not see the LGMP as a major force for change in his administration. Rather, he saw it as a minor part of the City's management development program. Consequently, he supported the Project in a passive way and

his approach typified the reaction of many managers in London to the Project – passive acceptance – with little willingness to make a real investment of time or effort in a commitment to its success. In some cases, administrators did make an effort to ‘own’ and accept responsibility for the Project and to set meaningful and realistic goals and objectives. In other cases, however, administrators saw the Project as the ‘Queen’s Project’, and set goals and objectives because they felt obliged to, or because they were afraid of losing their power and wanted to establish some boundaries of responsibility. In such cases, goals and objectives were half-hearted descriptions rather than statements of intent.

In one case in Regional Niagara, the LGMP Team was able to turn this approach around by taking a poorly defined set of goals and objectives and rewriting it with the department management. The result was a much stronger statement of departmental role and direction which provided some useful guidelines for subsequent management.

Far too often, the LGMP Team members and the Project Leaders spent their time pushing, coaxing and trying to encourage managers to take over responsibility for the processes. Without the changeover of this responsibility, the Team recognized that management improvements would not be sustained and would be considered additions to the normal workload, to be dropped when the pressure was eased. One extremely frustrating example of this type of situation occurred in one technical department. In this case the department management recognized a need for management improvement but was hesitant to try the LGMP processes to fill those needs. A great deal of time was spent dealing with semantics and overcoming hurdles that were envisaged by the senior managers. It seemed that the existing problems were recognized and the need for change was accepted but the firm direction needed for improvement was lacking. The LGMP was passively accepted by the lower levels but not fully ‘owned’ because the senior management was ambivalent and did not set an example to encourage lower level managers to really get involved. In general, goal and objective setting was seen to be over and above the everyday workload, primarily because the administrators did not really incorporate the process as part of their management systems.

Some managers were overworked and could have been greatly assisted through adoption of the concepts of delegation, improved communication, etc., which was a part of the effective use of goals and objectives. Instead, they carried out a paper exercise and merely added some meaningless goals and objectives to already overcrowded schedules. There was a barrier between the conceptual understanding of improvement management techniques and the implementation of the management behaviour necessary to their realization. Management improvement was often, therefore, kept at arms length because the senior managers did not reinforce the acceptance of certain techniques.

In general, motivation was a key factor. This meant that making a change had to be seen as more positive than not making the change. Municipalities generally take very little responsibility for motivating their employees

and do not provide rewards for management improvement. Too often during the LGMP, the status quo, however determined, was preferred because change itself involved taking risks with no promise of reward or even of compensation for costs. The Project Team members sometimes took the role of coaxing, encouraging and showing the way, but to be successful in the long term each manager had to take the responsibility for improving his own operation and had to take over the improvement process. This presented a greater challenge than many were prepared to accept. The difficulty among administrators was not the inability to recognize problems or the lack of desire to improve management effectiveness. Most administrators will change given clear direction and encouragement for changing. In most cases, however, this direction and encouragement was missing and that was a crucial factor influencing the success of LGMP processes.

2 The Flexibility And Relevance Of The Program Introduced By The LGMP

While most administrators accepted the goal and objective setting process as a viable one, very few of them were able to visualize exactly how it would fit with their approach to management. Many who tried to set goals and objectives were simply unable to incorporate them as part of their own management approach. Unless they were actually able to first identify their own management needs and problem areas, the objectives which they set were frequently meaningless. They first had to identify a clear need for an objective to overcome a problem or to achieve a desired aim and then they could begin to see how objectives contributed to management.

Managers who tried hard to incorporate the new processes needed pay-off, either personal or in terms of organizational effectiveness. By having them identify problems and then establish objectives to overcome the problems, the potential for pay-off was greatly increased.

Initially, the LGMP staff operated under the assumption that the development of goals and objectives was necessarily a good approach. This way of thinking contained two errors:

- a unless a manager is clear on the purpose and roles of his job he may very well set irrelevant or even dysfunctional objectives; and
- b objectives must have a definite purpose – to guide management otherwise, they are a waste of time and paper.

In almost all cases, the effort to improve management involved some degree of risk and, therefore, threat. Where top management has decided upon a program, they can encourage participation by making involvement in the program less threatening than non-participation. Of course, they would not wish to reward ineffective behaviour and need to provide managers with useful information about how they might become more effective.

Many administrators had not thought about themselves as managers but rather as technical experts. They were

unfamiliar with delegation and did not realize the importance of effective communication, particularly with subordinates, or of motivation, clear direction of efforts toward management improvement, and the proper structure and procedures for effective management.

To be truly effective in such areas, the LGMP needed to begin with basic management training through cases and experiential workshops. Essentially, the process had to begin with clear definition of the roles played by managers in each technical area and then training in those areas where weaknesses in management were apparent.

Once managers were clear regarding roles, the process of problem identification could begin and problem solving objectives could be determined. The LGMP found that routine objectives often did not make very much sense. Managers were already carrying out routines and merely stated what they were already doing in many cases. Problem identification, however, resulted in specific targets for management improvement which would not have been identified without such a process.

The LGMP staff feel that the processes they attempted to introduce at the council level were relevant. They also believe that top administrators should receive goal and objective training before changes are attempted in the interface between administrators and council or at the council level. Administrators can prepare drafts of corporate goals and objectives in various issue areas and thus help to focus council discussions so that both goals and broad corporate objectives can be accomplished.

The LGMP was only marginally effective at the council level because the Team had no way of reinforcing or encouraging council involvement. Thus, some or all of the methods mentioned earlier could have been useful, but most of them were beyond the scope and prerogatives of the LGMP Team.

3 Individual Capability And Ability To Change

The LGMP experience indicates that a number of personal characteristics influence an individual manager's ability to change. Usually these have been grouped under the title of 'resistance to change' in the past and as a consequence the LGMP staff feel that this classification has been grossly misused.

Resistance to change does exist, of course, and may be based on the individual's perception that the status quo has more apparent benefits than the future state offered by the change program. Alternately, resistance may result from the genuine, and perhaps often correct evaluation that the proposed change will not actually result in improved management; that it is not suitable to the specific situation. In fact, the Project Team found that what is customarily called resistance to change actually resulted from other causes in many cases. Managers often lacked the capability to change, in terms of basic management skills or, alternatively, they were unable to change because they found the incorporation of new behaviours very difficult.

LACK OF MANAGEMENT SKILLS

Willingness to get more involved in management im-

provement was a problem, but the *ability* to do so was also a big factor. Particularly among lower level managers, basic managerial skills were often poorly developed. For example, a number of managers that the Project came into contact with were very much overworked. This was often not because the unit's workload was excessive but because the manager did not have a clear concept of job roles and responsibilities. In a number of cases he did not have a clear concept of his own particular role and consequently could not clearly define the role of his subordinates. Since he was not clear on his role and was not managing effectively he was clearly unable to set meaningful objectives for his job and to guide his subordinates in setting clear objectives for their own.

Delegation was a major problem. In several cases, both junior and senior managers seemed to feel directly responsible for performing all the activities of their work units. For example, one department head, a bright and able person, spent an inordinate amount of time dealing with such activities as mail handling and filing. Nothing passed through his unit without his careful perusal. As a result, he was continuously in a turmoil, chasing minor crises, while his subordinates were discouraged because they felt that they were not allowed to be accountable for their own activities. Reports that they had generated were altered without their approval, a situation which was not conducive to the development of a strong, trusting relationship between the two different levels. This meant, of course, that the senior manager did not trust the people who worked for him. Distrust and lack of confidence begets poor quality and, as the effectiveness of the unit's work decreases, everyone became more frustrated. Some junior managers left the department, others tried to bypass the senior manager because he was slowing work down, while still others just resigned while still on the job, making a show of activity when the manager was present but actually accomplishing little or nothing.

This senior manager could have benefited greatly by learning the basic concept of delegation. The situation could have been much improved had he defined the responsibility of the unit, delegated authority, and assigned responsibility for certain tasks and supported those responsible in handling those tasks. Had he done so he would have been relieved of much of his workload. In this case, his secretary could have absorbed a large percentage of his work. He would then have been free to identify and achieve the broader objectives for the unit, of which he was also very capable, — giving his staff the freedom and direction they needed to do a good job.

As the Project progressed it became increasingly clear to the Project Team that a concentrated effort at systems improvement cannot be fruitful if basic skills such as delegation are not learned and applied. Other skills also found to be lacking were communication, both written and oral, a sensitivity to group dynamics and group work in general, problem identification, future thinking, performance appraisal and efforts by senior managers to develop management skills.

It would seem logical to have made a concentrated effort at the beginning of the Project to establish a firm management base for a goals and objectives program. In practice, however, this pattern operated in reverse, largely because of the assumptions made at the beginning of the Project. Initially, it was believed that the basic concepts and ways of thinking about organizations and the way that they work, were sufficiently well developed in the municipalities to support a goals and objectives approach. As time progressed, however, and some managers were unable to set effective goals and objectives, the thrust of the Project changed from goal and objective development to the development of basic management concepts and skills. Initially, Project staff had tried to assist managers to operate more effectively through seminars, stressing individual and corporate goals and objectives. Many goals and objectives developed this way were meaningful on paper only and were not really related to or incorporated into the actual approach to management or the everyday activities of the managers. As it became clear that the problem was one of skills, the orientation of the Project Team moved from an assisting role to more of an instructional role for some managers, particularly at the lower management levels. This role had not been envisaged at the outset of the Project.

This change in direction had a significant influence on the Project. It had began as an attempt to apply certain concepts to the municipal setting. As it progressed, however, the Project staff became more sensitive to the needs of each municipality and the processes became more flexible to meet those needs.

The need for management skill development in Ontario municipalities has been outlined quite clearly in a recent research study undertaken by the Ontario Ministry of Treasury, Economics and Intergovernmental Affairs¹. This study found that management education was lacking in municipal management. Up to 75% of managers had no college or university education. Those that had been to college had generally received technical training, e.g. as a lawyer, an engineer or accountant, with little management training. While the lack of management skills was recognized it was also noted that universities and colleges generally did not offer the type of courses required to improve these skills.

The authors of this study recognized an increasing demand for higher levels of education in local government but this was accompanied by little incentive, encouragement or pressure for change. About half the municipalities surveyed had no policy for the training and development of staff. Staff were 'encouraged' to take courses but two-thirds of the municipalities had no budget for education, training or staff development and there was little co-ordination of the educational programs that did exist. In fact, municipalities showed a general lack of organizational effort and direction in the area of the development of management skills.

This whole area of management training and develop-

ment seems to be neglected in local government. Some poorly educated and trained managers who have come up through the ranks are perpetuating ineffective systems unnecessarily because they are effectively blocking bright young managers and steering them into other types of organizations. This is unfortunate because the need for basic management skills must be satisfied before significant management improvement is possible.

TECHNICAL ORIENTATION OF ADMINISTRATORS

One of the greatest problems among administrators seemed to be the complete technical, professional focus of their behaviour. Engineers had technical engineering knowledge and senior social service staff were trained in social service skills. Yet in senior positions, the main job in both departments was the effective management of people and financial resources. Mobility seemed to be upwards, with very little movement across departments. Career assistance and guidance outside of that contained within the union contract was indistinct and usually undefined. Thus little information or formal training in *management* concepts and processes, as opposed to *technical* concepts and processes was usually available.

SELF PERCEPTION AS ADMINISTRATORS AND NOT MANAGERS

Many senior administrators saw themselves playing a role they defined as administrative as opposed to managerial. They essentially felt that they performed a maintenance function with a focus on the day-to-day problems. Thus, they did not *manage* in the sense of planning, executing and controlling defined strategies or in the sense of working to assist subordinates to develop strategies at their levels. This attitude was aided and abetted by the attitudes and behaviour of some councillors, particularly in smaller municipalities outside the Project. Many councillors saw the administrator's function as purely one of following orders from council. In fact, such attitudes existed in the Region of Niagara Council, to the extent that they limited the top administrators from contributing to an effective and integrated planning role for the Region.

CAPABILITY AT THE COUNCIL LEVEL

Many councillors lacked the management background to fulfill their management roles and responsibilities. In fact, there seemed to be three roles impinging on the council.

- a A political role — the function of which was to provide a forum for debate and the airing and resolution of conflicting views on local issues. This enabled public decisions to be made at the most appropriate governmental level. Through this function, by-laws and local zoning plans were established and the municipality was able to act in its own best interests.
- b A service delivery role — the function of which was to provide for the provision and maintenance of public services in those instances where the free enterprise system was not suitable to fill strongly felt needs of citizens.
- c A management role — which provided for overall

¹ *Managers for Local Government: A Study*, Advisory Services Branch, Ontario Ministry of Treasury, Economics and Intergovernmental Affairs, 1976.

management of cost and value decisions among various alternatives for service; an identification and review (through the administration) or organizational resources to ensure that they are being used as effectively as possible; a review, again through the administration, of the organizational systems such as corporate planning, the reward system, the control and co-ordinating systems, the budget, the information systems, etc., to ensure that they are meeting the needs of both council and administrators; and the hiring and effective development of senior administrators.

Councillors have traditionally been concerned with the political decisions but seem to see their role primarily as that of the management of service delivery. Service issues usually formed the basis for the platforms on which they were elected and it is these service delivery roles which guided their direction and thinking because they essentially determine much of the visible relationship between the municipal government and the people. The management role on the other hand is concerned with the monitoring and improving of efficiency and effectiveness of the internal operation. Unfortunately, councillors are usually not trained to manage or control a large organization with a multi-million dollar budget. Often they unconsciously leave that responsibility to the administration and become involved in management detail. This tends to discourage and demotivate administrators who really need definition of the broader picture of municipal goals and general objectives by council, or at least some direction in particular issue areas.

Breakdowns occur in the process because the relationship between the council and administration is undefined. Each has needs for input from the other which may be unfulfilled. In order to carry out their political and service delivery roles councillors need information from the administration that the administration may not be organized to provide. Administrators, on the other hand, also need information and direction from council. Because councillors tend to react to environmental pressure they frequently are pressured to deploy resources in an inefficient manner by some particular person or group. Administrators see the waste, and the apparent inconsistency in such decisions is somewhat demotivating.

ABILITY TO MAKE A DESIRED CHANGE

In addition to the need for basic management skills, the Project Team found that managers needed to be able to change their behaviour in the desired direction. This ability was influenced by the manager's present approach to management, the availability of the new behaviours in his managerial repertoire, the ability of senior managers and change agents to clearly illustrate the desired behaviour, and the degree to which the manager obtained useful feedback as he incorporated the new behaviours.

a Effect of Present Management Behaviour

Each manager does his job in a unique way which has been developed over some period of time. He is just not able to change that behaviour radically overnight and

when he does he will incorporate elements of the new behaviour with elements of his previous approach to management. Thus, contrary to previous impressions, there is no completely systematic approach to management by objectives or program budgeting or, for that matter, delegation or participative management. Each manager will use the new techniques in a unique way which will be developed over time through ongoing feedback from senior managers or change agents.

b Availability of Desired Behaviour

It may be that the behaviours required, e.g. for effective delegation or for participative management, are not available to some managers, they just cannot carry out those management behaviours in an effective pattern of interaction with subordinates. In such cases, senior managers must decide whether or not the individual's present management behaviour is satisfactory and either let him continue to operate as he has in the past or terminate his services.

THE CLEAR IDENTIFICATION OF DESIRED TECHNIQUES

There is no question that managers need clear examples to work from and preferably models as well. Since each person does and will continue to operate in a unique manner, it should be made clear to each individual, by senior managers and change agents, that he should not attempt to adopt a mechanical way of behaving just to incorporate the new techniques. He should be given an idea of what the end result might be and then be given help in adapting the techniques involved to his own particular style of management. This means that change agents and senior managers must devote a good deal of time to close working relationships with managers undergoing changes and provide a supportive and positive but critical frame of reference.

4 Organizational Characteristics Which Influence Management Improvement

There is no question that there are a number of prominent characteristics of local governments which influence the potential to improve management. The need for a clear sense of purpose, defined roles and corporate goals and objectives have already been mentioned. In fact, this need for direction is probably the most crucial requirement in local government. Unless it has direction and planning, a municipality can have little influence upon Provincial policy, it cannot liaise effectively with other local governments, councils have no constructive focus, administration is forced to be inefficient, if not ineffective, and the public has no frame of reference for making input to local government policy. Closely associated with direction is municipal structure.

INFLUENCE OF STRUCTURE

Traditionally, municipalities have developed along departmental lines. The management systems, the organizational processes, procedures and structures have tended to be concentrated by department or profession. Management mobility has tended to be vertical, with managers remaining within technical or functional lines in their career paths. This orientation has tended to produce a departmentalist philosophy where each department becomes an entity that, to an extent, operates

for its own benefit. Under such a philosophy it is impossible for the organization to work as a system, for each department will be concerned with meeting its own needs.

Each of the four municipalities involved in this Project had developed along these functional lines and much of the Project Team's time was devoted to helping managers to identify the problems involved in this approach. One of the main difficulties was the inordinate amount of time that departmental managers spent protecting their departmental interests. Even well organized efforts to co-ordinate activities may fail if each manager is intent upon protecting himself rather than upon working with others to create a more efficient operation. London and St. Catharines had chief administrators who could work to ensure that the purpose and goals of the municipality were defined in a corporate strategy. Even chief administrators can have difficulty integrating activities, however. In those cases where the CAO is less concerned with planning and giving direction than with arbitrating among the departments competing for resources and power, clear direction will not be available and achievement of corporate goals is less likely.

In both London and Ottawa, the senior management team did not function in its role of a co-ordinating, guiding body because of a departmentalist philosophy and the resultant pressures upon co-ordination. In Ottawa, the Committee of Department Heads was the primary administrative decision-making body. Unfortunately, individual department interests were primary and precluded the committee's ability to reach a common direction and to agree on management activities. A lack of trust and a negative attitude to corporate management among a number of the senior administrators prevented the LGMP from developing a corporate orientation at the top administrative level.

This had a harmful influence upon council, which needed the administration's voice and guidance to assist its own decision-making processes. As has been noted, councillors look to their administrators for direction and information; this is to be expected when it is recognized that the administrators are the professional managers who provide the continuity for the organization. Where the administration cannot provide an integrated advisory service, councillors, who are often not skilled in the management of a large organization, must act as arbitrators for the administration, and in the meantime must try to assess information which is often contradictory.

The Ottawa Council sometimes found itself in this ambiguous position. In order to address this problem, the council needed to define its needs, to become more involved in encouraging administrative co-ordination and to provide policy and a focus for administrative action. Addressing this need absorbed much of the efforts of the Project Team in its rather unsuccessful relationship with the Ottawa Council.

a The Need for a Chief Administrator

The Project Team concluded that a chief administrator is required in local government to:

- i present issues to council in a meaningful way, ideally with a series of alternative actions, each of which would address the issue in a different way;
- ii provide leadership for the administration and management advisory for the council;
- iii provide leadership in the allocation of resources, assignment of responsibility and clear definition and identification of support services; and
- iv provide a co-ordinative influence in the development of common communication and information systems and the development of special administrative task groups.

In Ottawa, for example, the departmentalism resulted in management processes that were less than optimal. In one development the budget process was recast by the Finance Department to reflect a budget by program format. Unfortunately, the user departments had little input into its development and were not particularly receptive to the new format or the extra work that it entailed because it did not meet their information needs. Yet the Finance Department did not have the authority to obtain that necessary input during the planning stage.

In spite of the presence of a CAO, the senior administrators in London also had a narrow perspective of the management of the organization. As a group, they shared little sense of corporate planning or regard for the larger issues which affected them. Again, the departmentalist philosophy encouraged each department manager to fight for resources rather than to co-ordinate his activities with those of the other departments. This promoted an attitude of distrust and isolation among the senior management team members and created problems as far as inter-departmental work was concerned.

A certain commonality was needed for the establishment of an information system, but this commonality did not exist, much to the frustration of a number of the middle managers. The data processing division, for instance, was frustrated in its attempts to link its own goals and objectives with those of the line departments which it was trying to support. The filing systems, communication systems, accounting and control systems and information system development were often not co-ordinated or were duplicated by each department.

When London's Commissioner of Finance attempted to restructure the budget into a budget by program format, the initiative was not entirely successful because user departments had not established clear objectives and were not sure of the meaning of 'programs'. The objectives which were collected may or may not have been meaningful to the departments concerned. As a result, the change in budget presentation seemed to be more of a change in the appearance of the budget format rather than an improvement in the ability of the budget to meet the needs of the managers within the administration.

The CAO found it difficult to develop corporate perspectives in his administration and his role seemed to be that of an arbitrator between the administration and the

council and between the different department heads. The defensive and protectionist behaviours of the department heads forced the CAO to adopt a directive and controlling approach, one that he realized would detract from overall administrative effectiveness.

The municipality which came closest to developing an integrated administration was St. Catharines. This was largely due to the efforts of the City Administrator, although some department heads also made a major contribution and all of them were willing to work together. The CAO saw the role of the senior management team as one of assessing corporate problems through the different perspectives of the members before making recommendations to council. In this case, the senior management team was not so much a group of administrators manoeuvring for resources and protection, as it was a group that met to ensure that each had an input before corporate recommendations were presented to council. When the roles and responsibilities were identified in these terms and were clearly understood, the municipality was approaching effective corporate management.

A chief administrator is not, of course, the answer to all municipal administrative needs, partially because his power to change a situation is necessarily limited. In fact, the wrong person in that position can discourage the flow of information between administrators and council, cutting council off from the technical advice that is needed. The CAO has to be a co-ordinator who is able to develop and bring into play all the potential strengths of his administrators. The selection of a CAO is perhaps the most important decision a council will make because he should have prime responsibility to council for the effective operation of the administration - both in terms of service delivery and the obtaining of corporate advice for council.

b The Need for an Executive Committee

Unless a council is reasonably small (seven members or under) it usually has a good deal of difficulty in examining an issue and its political implications in any real depth. Discussions are usually shallow, often involving a good deal of 'grandstanding' and decisions are either shelved pending more information or made on the basis of inadequate information. Standing committees of council which deal with the issues in each functional area can give the issues in their respective areas a thorough review, but from the LGMP experience decisions made at the committee level are sometimes insufficiently discussed by the council. More important, many of the most important decisions made by a council are corporate decisions which do not fall in any one functional area. These are the decisions that require advice and information from a senior administrative team and that require some in-depth consideration by an executive committee of council. The executive committee can examine and report to council on the political implications of any recommendation or potential decision and it can also examine the strengths and weaknesses of various alternatives.

Ideally, an executive committee will reflect the attitudes and perspectives of council as a whole. Practically, of

course, that ideal cannot be attained but it is an important consideration. Unless most councillors are happy with the executive committee it will be ineffective and selection procedures for that committee should be designed with this in mind.

The executive committee should, of course, be purely advisory and the council has the prerogative of rejecting any recommendations from that committee. The LGMP staff feel strongly that councils need a focus and they need to consider the implications of their decisions in more depth. An executive committee working with advice from a senior administrative group or, in special cases, from middle management task groups, can provide the type of focus and depth of study required.

Membership on an executive committee can be time consuming in large municipalities, particularly when administrative resources are not used to prime advantage to obtain information and provide technical advice. Councillors who take on such responsibilities will necessarily find even more than the usual restraints on their own time and will need to be reimbursed appropriately. The effective use of standing committees can help as long as they too ensure that council makes all the overall decisions, even in the functional areas, and that committee membership is not used to attain a position of special influence.

c The Use of Task Groups and Committees

The Chief Administrative Officer in London was probably somewhat frustrated with the inadequate corporate management perspective of his senior administrators. To promote a corporate perspective among his middle managers, to obtain advice on some corporate management issues, and to develop the management capability of his middle and junior managers, he formed a number of task groups to study and produce reports on some broad aspects of management, e.g., the management information system. This type of task group appears to have a great deal to offer, and the continued use of such groups would appear to improve the ability of a municipal administration to adapt to changes in the environment.

PROCESSES AND PROCEDURES FOR INTEGRATION AND CO-ORDINATION

One of the most apparent weaknesses in local governments, from the LGMP perspective, has been their seeming inability to design clear and simple operating and adaptive procedures at the corporate level. Where procedures do exist, they are frequently unknown to both councillors and administrators, they have not been designed with sufficient input from those who use them, and they differ in different functional areas, causing problems for communication and joint action.

Structures, e.g. a senior administrative team, or any other committee, are relatively meaningless unless the role of that group and its procedures and processes of operation have been clearly outlined. Simple procedures often suffice for routine decisions and a great deal of committee time is spent doing things that recognized procedures can do better.

Problem identification procedures can involve all administrators and employees, creating greater interest in the job and providing some basis for management improvement from those who really know what is currently happening. The LGMP staff found that administrators who were one level removed had little idea of the operational problems being encountered by their staff. Council had seldom, if ever, considered the administrative perspective and the operational problems affecting both efficiency and effectiveness that might be created for administrators by council actions.

Administrative recommendations and council approval and follow-up, all require routine procedures which seemed often to be ineffective. The major problems were the variations in administrative systems between departments; for instance, filing systems and coding systems were distinctly different, making communication difficult. Seldom, if ever, were there centralized subject files on major municipal issues such as housing or transportation. Thus, efforts to find out how the municipality had acted on such issues in the past were time consuming and costly. Yet this was an important first step in the development of some degree of consistency in planning for the future in major corporate decision areas.

Support service operations generally suffer to some degree from the inadequate definition of procedures by both suppliers and users. Procedures in these areas require joint input and a process for ongoing revision and improvement. It often seemed that line or user departments had been given no say in the development of support services, and the support services, e.g. Personnel, Motor Pool, Purchasing, were inadequate and inefficient as a result.

The establishment of procedures is time consuming at the outset. Once they are established, however, they can be easily updated and they should save a great deal of time normally wasted on meetings in crisis situations and, of course, in ineffective administration.

Obtaining the Necessary Information

In the initial stages of the LGMP, the Queen's Team attempted to do a study of the decisions which administrators made and the information they used in making those decisions. It quite quickly became apparent that most decisions were unconscious ones and that little effort was usually made to ensure that all relevant information had been obtained and carefully weighed.

During the orientation workshops, administrators complained about the lack of direction they received from council and about the inconsistency of council decisions that were resulting in inefficient and ineffective management. Later in the Project it became apparent that councils had frequently not even thought about their short range, let alone, long range planning function and had made no real effort to obtain the type of information required for planning. In fact, they did not even make use of the information and knowledge avail-

able through their administrative staff. Administrators had seldom developed effective means of information storage and retrieval. Different departments such as Fire, Planning and Engineering that needed the same information, frequently had separate files which could not be combined very readily because the filing and coding systems differed.

Many of these information areas can be improved through the definition of clear goals and objectives and through clear delineation of responsibility. Many, however, require conscious effort on the part of both councillors and administrators to attempt to improve the information they use to make decisions. This is, of course, particularly crucial at the council level where important decisions are made that affect the municipal operation over the long term. (This whole area of information improvement is covered in detail in another LGMP publication.²)

Feedback Mechanisms

The development of evaluative and performance measures in service areas has been introduced in Ontario through the Municipal Maintenance Management System, which is mainly employed by Engineering and some Parks and Recreation Departments. This system is based upon a set of standards which supplies a basis for comparative performance measurement. Where the system has been used effectively to improve efficiency and effectiveness it worked well. In some cases, however, the system did not appear to supply an incentive to improve methods, structures and procedures. Its effectiveness in improving management depended upon the motivation and dedication of the managers using the system. Without a system of problem identification, and management communication through goals and objectives, the MMMS system could only cope with one part of the measurement problem. Even where an output measurement system is being effectively used there is always the possibility that a work unit is very efficiently doing the wrong thing. Thus, effective management combines systems of output measurement with systems capable of evaluating the cost and benefits of various alternatives and programs, and of examining the purpose and roles of managers and employees.

London and Ottawa were both working toward the development of program budgets prior to the LGMP, and the difficulties they encountered have already been identified. Until all departments established programs with definite objectives and firm measures of cost and of program efficiency and effectiveness, changes in the budget were more cosmetic than real.

The LGMP experience indicated that administrators were fairly willing to establish objectives for programs and to hold team reviews of program effectiveness. The Physical Environment Departments in Ottawa, Homes for the Aged, Finance and Public Works Departments in the Region of Niagara, the Parks and Recreation and Engineering Departments in St. Catharines and the Data Processing and Planning Divisions in London were all able to establish programs and to carry out effective reviews.

Where the LGMP encountered really firm resistance was

2 *Improving Management Performance: The Role of Management Information.*

in the area of personal appraisal interviews. Although the LGMP staff firmly believed that the main role of appraisal and appraisal interviews was the development of better managers it was almost impossible to persuade administrators to carry out individual reviews. This did not mean that individuals were not evaluated by their superiors. It did mean that the superior did not need to justify his ratings or even, in many cases, to sit down and consider the effectiveness of his staff until a position became vacant. It also meant that communication between subordinates and superiors was closed and constrained and that little organized management improvement and career development was taking place. The excuse that: 'There are no career opportunities in local government, so why try to develop people?', is even less relevant than it is in most industrial or business organizations, yet the LGMP staff heard that justification *ad infinitum*. Essentially, managers were avoiding a critical aspect of management and the motivation and personal and managerial development of the staff in every one of the Project municipalities was suffering as a result. (The LGMP publication *Improving Management Performance: The Contribution of Performance and Productivity Measurement* discusses this subject in some detail)

5 Council Involvement

Although the discussion prior to this point has not excluded council, the LGMP experience with councils and with the council-administrative interface was particularly interesting and a special review of this area seems appropriate.

Council involvement, the council/administrative interface and the approach to corporate decision making varied widely across the four municipalities. The extent to which councils were willing to become involved in LGMP processes also differed significantly and these variations had a considerable impact upon the direction of the Project and its impact upon the municipality.

In the Regional Municipality of Niagara, the relationship between the Council and the administration was rather fragmented. The Council was large and unwieldy and senior administrators worked through standing committees to plan and obtain approval for their activities. This approach reinforced a feeling of independence on the part of the different departments, not entirely because each was vying for resources from a common pool, but because the flows of information and communication were more vertical than horizontal. As a result, senior administrators were somewhat indifferent to each other's roles and little communication and co-ordination took place because there was no overall corporate plan to provide organizational direction.³

St. Catharines' Council, on the other hand, was very much involved in the Project, largely as a result of being asked for certain corporate decisions by the City Administrator and the senior management team. This was particularly the case towards the end of the implementation period, when the joint Council/Administration workshops involved both councillors and administrators in identifying and addressing issues and problem

areas. This process led Council to take an active role in corporate planning.

Prior to these meetings there was no joint problem identification and problem solving but there was a good relationship between the Council and the administration. Both were interested in improving the management of the municipality and were supportive of the Project. The potential had existed for better management but there had been no *process* for improving communication and understanding between council and administration. The administrators had begun by developing an atmosphere of support and co-operation both within and between departments. They wanted to maintain and improve this situation and saw the value of meetings with Council both to themselves and to the municipality. In the positive atmosphere which existed, the meetings, which were free-flowing idea generating sessions, were most successful.

In this case, council involvement certainly extended the value of the LGMP processes. Administrators need direction from council and, in turn, can supply valuable information to council. Corporate management is ineffective unless a good working relationship exists between councillors and administrators.

Councils in London and Ottawa did not become involved in any meaningful way until the last few months of the Project. In London, the Council wanted to become involved in program budgeting right at the outset. The Project Directors, however, believed that the senior administrators needed to develop some expertise in the goal and objective process before they would be in a position to have meaningful input into the determination of programs at the corporate level. This process was not uniformly successful and took longer than the council had expected. Thus the councillors lost interest.

This interest was rekindled towards the end of the Project through the corporate position papers which had been prepared by the Project Leader and revised by the senior administrative team. The London experiment may indicate how effectively summary papers or issue areas are in contributing to council planning and decision-making, with or without direct administrative involvement.

From the Project Team's viewpoint it was unfortunate that the Council did not take an active, positive interest in the Project. Many administrators in London took their behaviour cues from the Council and saw that the Project could have little significance unless it had Council support and involvement. There is no question that much of the responsibility for Council's attitude toward the LGMP lay with the inadequacy of early presentations by the Project Team, and perhaps with some of the processes, but management improvement in local gov-

3 Initially, Regional Council showed considerable support for the Project and its goals. This support continued until some councillors indicated a desire for a statement of Regional direction in the form of goals and broad objectives. At that point a number of other councillors saw the possibility of increased conflict between area municipalities in establishing Regional goals. There also appeared to be some fear of change in the balance of power in the Regional Council.

ernment is a complex operation, and it was not easy to convey the scope and meaning of a Project which was only in proposal form, to an audience which was not accustomed to thinking in terms of effective and efficient management.

The situation was similar in Ottawa. Here again the Council did not strive to become involved in the Project at the outset. There were no Council members on the Project Task Group, yet it seemed that the Project had consistently been seen in a positive light. The Council fully intended to become more involved, the problem was that no definite decision was made or a suitable process for involvement established. In fact, the LGMP staff had hoped to work through the Committee of Department Heads but the heads of non-participating departments opposed Project involvement and even attempted to destroy the effectiveness of initiatives which were taken by Council. In the latter stages of the Project, severe morale problems and evidence of management problems stimulated Council involvement in problem identification sessions with the administration. The support department heads were reticent, however, and there was never sufficient strength and support by either Council or the administration to attain the impetus.

The Project Director and Project Leader had to take the leadership roles in problem identification and in setting up and chairing the joint discussions which took place. Yet they had no control over the location or the duration of the workshops, etc. Department heads and some councillors treated the whole exercise as a Queen's initiative for which they bore no responsibility. Clearly management improvement has to be viewed as the responsibility of municipal staff and council and the Project personnel can only suggest methods and processes. Although the Project Director and Project Leader

realized that they had little potential for success, they played a directive role and took the criticism and responsibility for the marginal results. Three joint workshops took place and these had some value in opening communication and in promoting a free exchange of views.

In summary, the relationships between the CAO, the senior management team and the executive committee at the elected level are important factors in effective organizational change. In three of the four Project Municipalities the management improvement effort faltered at the Council level because these relationships were weak and there was no mutual effort to promote effective corporate management until late in the Project. A strong senior management team and/or CAO alone cannot provide that focus if the relationship with the council is ambiguous and uncertain and the senior administrators are scrambling for resources because goals and priorities are uncertain, rather than co-ordinating activities to operate as efficiently as possible. Thus a council, or committee of council, cannot act alone because they need some form of focus and clear alternatives, otherwise they will revert to ineffective trade-offs in their efforts to represent the people who elected them. Councillors also need advice and information regarding the resources available to them and the costs of various potential initiatives.

This focus is probably best found in the corporate decision making process described in the LGMP paper *Corporate Management: Its Role in Local Government*.

Part III

Implications for Other Municipalities

A primary basis for the Provincial support of the LGMP was its potential as a source of information and management improvement techniques that could be of some direct use to municipalities other than those directly involved in the Project. This was the rationale behind the extensive Project publications including this overview of Project experiences.

There is no question that the members of the Queen's Team learned a great deal about local government management and probably even more about the implementation of a management improvement program. Hopefully, the Project Municipalities also feel that the Project was a useful and informative one. No doubt if the Project Directors had known at the outset what they now know about organizational improvement in local government the Project would have taken a much different form and there would have been greater benefits to participating municipalities.

Taken in perspective, the LGMP was a sizeable and complex initiative which involved considerable effort and expense on the part of both the Project Municipalities, and the Advisory Services Branch of the Ministry. The critical question of course is: 'Was all of this worthwhile?'

The judgement regarding the Project's worth must necessarily be made by municipal councillors, administrators and schools of public administration. To provide an overview of the Project as it appears to relate to most municipalities, this section of the paper attempts to describe some of the experiences and conclusions which the Project Team feels are relevant. Many of these are described in greater detail in other Project publications and reference will be made to those sources where appropriate.

The original philosophy behind the Project was that it should be a test of the potential of a broadly based goals and objectives system for improving local government management. As the Project progressed, however, and problems emerged, rather than merely recognizing and recording them as would have befitted a research project, the Team sought to develop ways of addressing them. In many cases Team members played the role of consultants, working with managers to define areas of difficulty and to find ways of overcoming them. This was the primary thrust of the latter part of the Project, and it includes the development of an understanding of the problems involved in managing a municipality, the roles and responsibilities of the various managers, and the processes which need to be established in order that

these roles and responsibilities can be carried out effectively.

Had it remained a test of technique, the job of evaluating the Project as a whole would have been relatively straightforward. When the Project is seen as a part of an integral and dynamic learning and change process, however, the evaluation task becomes more complex. In this case, it is not meaningful to argue whether the Project as a whole was a success or failure, it was both, of course, depending upon the perspective taken. A more fruitful approach would be to recognize that the Project itself was not sterile, it was dynamic to the extent that it sought to identify municipal needs and to modify its approach and resources to meet those needs. The Project Team feels that this enriched its potential as a learning mechanism.

To the extent that the Project Team members were able to identify problem areas in municipal government management, weaknesses relating to the concepts they tried to introduce, and problems with the implementation of those concepts - the Project was certainly a success. It is the purpose of this section of the paper, therefore, to summarize what the Project Team members feel is relevant to municipalities in general, in order that other organizations may benefit from that learning process.

This part of the paper will be divided into four sections.

In Section A, the roles and responsibilities necessary for the effective management of local government are discussed and associated with the different management levels of a local government organization.

In Section B, a framework for effective management is outlined. This framework takes the form of a series of steps which need to be followed if the roles and responsibilities discussed in Part 1 are to be carried out in an efficient manner.

Section C is a discussion of actions required to ensure that the framework outlined in Part II is operating in the ongoing management of the municipality. As well as discussing the implementation itself, the prerequisites necessary for the implementation of an organizational change program are reviewed.

Section D concludes this paper and the Project publications with a discussion of what needs to be done now, and by whom, to ensure that councillors and administrators take the required initiative for improving the management of local government and that their efforts

are steered towards the major problems facing local government today.

SECTION A THE ROLES AND RESPONSIBILITIES OF LOCAL GOVERNMENT MANAGEMENT

One of the primary steps in any management improvement program is to ensure that the individuals involved in the change fully understand what their jobs entail, where the boundaries of their responsibility lie, and what roles they should be fulfilling in that job. It is not sufficient that a manager knows the mechanics of his job, he needs to think about and develop a personal understanding of the reasons why the activities he carries out are necessary. If a manager thinks only in terms of activities, management improvement will be interpreted to mean more or less, or a different balance of the same activities. On the other hand, if a manager works toward a better understanding of his role and responsibilities — the reasons for his job, then a true potential for management improvement exists. If a manager is working very hard to accomplish the wrong things, then the concepts of efficiency and effectiveness of management are rather meaningless.

The LGMP staff were impressed with the sincerity and hard work of both councillors and administrators. They did feel, however, that more time spent in defining and developing a better understanding of the purpose and roles of local government and its various sub-systems would be highly worthwhile. To facilitate thought in this area the LGMP staff developed a model which seemed to represent the political and management roles of local government, and which encompassed the organizational decision-making process.

To illustrate what we mean by municipal roles and the respective contributions of Council and administration to municipal operations, we have included three explanatory tables. These are not necessarily inclusive but they do represent what appears to be an appropriate framework for most municipal operations.

The Political Roles of Local Government

Basically, political roles encompass the definition of community needs for government supplied or government monitored services, the allocation of resources to those services and the development of conflict averting and conflict resolving mechanisms, in those areas affecting the lives of citizens which fall within local government jurisdiction.

In Table 1, (Page 61) some of the typical public needs for political decision-making by local government are identified below the flow chart.

Decisions in the political realm must be made by council as a whole. Administrators and consultants can serve in an expert research and advisory role, as professional planners, as legal advisors, as advisors in the areas of protection and enforcement and, generally, as corporate management advisors to council on an ongoing

basis. Fundamentally, however, the decisions are political, and councillors, as representatives of the people, have the major role to play in sensing the need for political decisions, in making those decisions, and in determining their appropriateness. As indicated on the left hand side of Table 1, information from the public can reach council in several ways. Input from other boards, agencies and governments is also important and influences council decisions.

It is the successful operation of this political function, carried out in open debate with open public input, that determines the viability of a community. Where debate is restricted, or the perspectives of certain elements of the population are not considered, community problems ensue. To action oriented councillors and administrators the decision-making process in the political arena is often frustrating and slow. Past experience has indicated, however, that a major difficulty in local government has been the clear definition of problems, let alone the development of answers, and that rapid solutions to the wrong problems can be dangerous and costly. Municipalities have a history of misdefining problems and coming up with answers that, in turn, create the next set of problems.¹

The LGMP staff feel that one major problem has been a lack of awareness of the importance of the political role of local government, on the part of councillors, administrators and the public. Alternatives for potential decisions are frequently not identified and the potential impact of decisions upon various areas or segments of the population is often virtually ignored. Public protests may seem to be dysfunctional at times in that they create costly reversals of decisions when, in fact, the decision itself was actually in error.

From these political decisions, the shape and, to an extent, the social and physical nature of the community is determined. For feedback on the effectiveness of political decisions, councils must depend upon citizen responses, growth rates, crime rates, pollution data, etc. as indicators. Again, the administrative staff and/or external consultants can be helpful in gathering and interpreting the responses of the public to political decisions and this has been indicated by the feedback line at the bottom on Table 1.

The Management Role of Local Government

The management role or function of local government, Table 2, (Page 62) is primarily concerned with getting the work of local government accomplished. This involves the translating of political decisions into action, and the anticipation of future needs in a concrete form, e.g. five and ten year plans, economic surveys, development requirements. Political decisions determine the direction of a municipality. Management decisions keep the municipality on the path determined politically and provide the required services to citizens.

It is council's responsibility to take their own political decisions and to translate them into concrete projects in the service areas identified at the bottom of Table 2. To do this they must depend upon the expert advice of their administrative staff or alternatively (or coincidentally) consultants. Administrators can obtain additional pub-

1 Some interesting examples were discussed by Donald Schon from Massachusetts Institute of Technology, at the Urban Innovation Conference at York University, April, 1977.

lic input and later can help in communicating council decisions to the public. They can provide council with advice with regard to costs, design, etc. and alternative ways of satisfying community needs. They can also get information on cost projections and development implications for the future, in terms of potential long run costs and benefits. This type of analysis can be accomplished by administrators, but the decisions regarding the extent of expenditure, the location of facilities and the type of facilities or level of soft (social) services provided, are necessarily those of the elected council or of the Province.

Once they have established priorities and decided upon new levels or types of service, etc. councils need clear recommendations for means of supplying that service, including alternatives from contractors, administrators or both. Once recommendations have been considered, revised and accepted, councils need to have a process which facilitates clear rapid decisions and delegation to technical experts in their administration or to contracting firms to get on with the job.

Whether or not council depends upon administrators or consultants, delegation of even the technical and operational functions requires effective monitoring and evaluation on council's part. Top administration is responsible to council and that responsibility needs to be clearly outlined by council, working with top administrators for each function and position. Unless councils are clear about the duties they expect the administrators to perform, they will be unable to measure and evaluate the administrators' effectiveness. Councils need to provide direction to administrators and assign responsibility and delegate authority clearly in order to have an understanding of what they expect from the administration. Council, in effect could say to the administrator in charge of housing, 'These are our housing goals, and broad objectives and you are responsible for their implementation. Now tell us how you are going to carry out the operational implementation process'. The administrator could provide an answer in terms of the type of facilities needed and specific time and cost objectives for their completion.

The most appropriate basis for the monitoring and evaluation of the administration by council is the development of clear goals and objectives by administrators. In addition to the provision of services to the public, one administrative goal area should be the fulfillment of an information and advisory function for council in both political and managerial decision areas. Another goal area should involve corporate management input on the part of each senior administrator with regard to more general recommendations in areas affecting the future development of the municipality. For example, the chief engineer can discuss potential engineering implications of development proposals, whereas the planner can discuss the potential aesthetic considerations of industrial versus commercial development.

The basic advisory role of most administrators lies, of course, in providing technical and managerial expertise in their functional area. Their recommendations need to include alternatives, wherever possible, to provide po-

tential political flexibility. Probable costs and benefits should be estimated for each alternative.

The most basic role of administration lies in the implementation of projects and programs approved by council and the delivery of services to the public. The effectiveness of this role can be measured by the speed and efficiency with which council requests are implemented and the degree to which the objectives outlined by council are achieved. Again, in this area, council has a responsibility for evaluating the effectiveness of their administration and the basis for this evaluation can probably best be achieved through an understanding of the goals and objectives of administrative programs. (Some detail on the use of goals and objectives in local government is contained in *The LGMP Experience: Guidelines for Organizational Change in Local Government*.)

One of the most serious problems in municipal management to date has been the absence of an effective evaluation and reward system for administrators. The potential of a professional group of administrators to contribute to the planning process, to provide their councils with information relating to the community, and to generate alternatives for council discussion and approval has also largely been ignored and administrative performance in this respect is probably never considered as a variable in appraising the value of their performance.

Decision Making in Local Government

In Table 3, (Page 63) there is an attempt to outline a decision making process for both political and managerial decisions and an effort has been made to identify the inter-related inputs of council and administration. An attempt has also been made to identify some of the more apparent and consistent problems in each of the processes identified.

Council must first decide upon the community's political and service needs. To do this it needs direct input from the public. Public input to some extent, can be supplied directly by councillors as public representatives (left side of Table 3). The administration plays an advisory role in supplying council with studies of public needs, alternatives for services and the probable costs and benefits of alternatives. A main problem noted during the LGMP was the lack of voluntary administrative advice to council. Some administrators were hesitant to speak out unless there was a special request by council for information. This may have happened because initiatives by administrators were often viewed with some suspicion both by councillors and other administrators.

Where councils are unsure what services are required or what alternatives exist for political decisions, they can ask administrators for special studies. The administrators can investigate and write reports with recommendations for council action. It seemed to the LGMP staff that there was a tendency for administrators to generate only one recommendation instead of alternatives, and rejection of a recommendation was frequently regarded as evidence of a failure by the administrators involved. It seemed that this attitude could read-

ily lead to efforts by the administration to become too concerned with the political merits of a recommendation and insufficiently concerned with its technical merits.

Long range council goals and ongoing objectives, flexible though they must be, can add some consistency to council decisions. Citizen interest groups can provide useful feedback on tentative goals and objectives and may help to identify possible discrimination which might result from some decisions of council. On the other hand, special interest groups may lobby for unequal benefits from local government decisions and long range goals and objectives provide a council with a firm basis for rejecting such demands.

Once council has considered administrative recommendations and has decided upon a course of action, the implementation is up to the administration (middle of Table 3). Definitive procedures for implementation and ongoing feedback to council on the progress of implementation are both necessary aspects of effective management. Inefficiency and ineffectiveness in administrative implementation were the major targets of the LGMP, and councils' general inability to evaluate and reward effective administrative performance was a problem in motivating administrators. Councils have some difficulty in performing an effective top management role in that they have trouble both in providing guidance and in evaluating the effectiveness of service delivery. Another associated problem area was evident in councils' frequent inability to delegate authority and to allocate responsibility to administrators.

As implementation of council directives takes place, council and senior administrators need ongoing and periodic reviews of results. This whole area of reviews, evaluation and measurement of performance needs to be reviewed by most local governments. *The LGMP Experience: Guidelines for Organizational Change in Local Government and Improving Management Performance: The Contribution of Productivity and Performance Measurement*, go into some detail in these areas. Table 3 outlines a number of additional problems not discussed here, which were encountered during the LGMP.

The Importance of Municipal Size

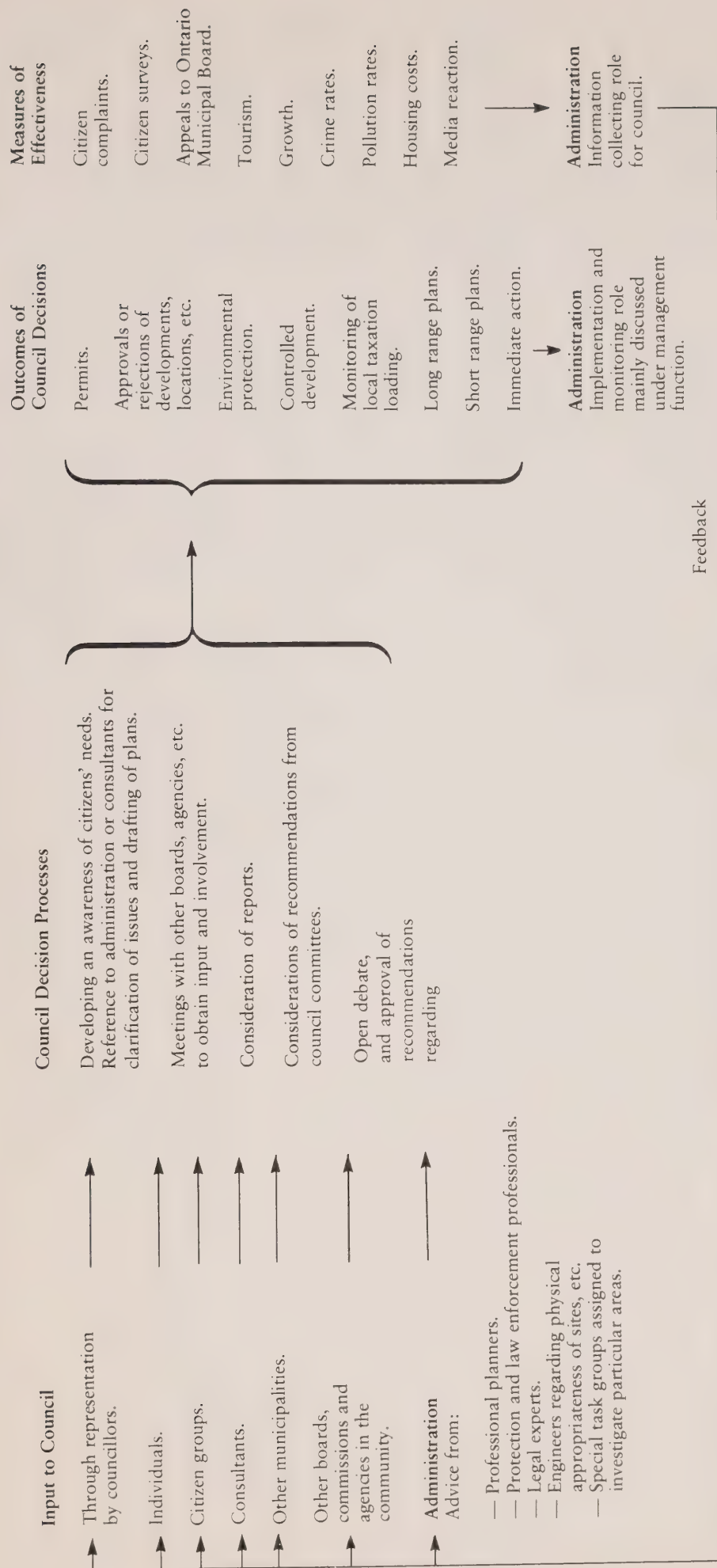
To this point the factor of municipal size has not been discussed to any great extent. Considerations of size have been excluded because the general concepts contained here really apply to most organizations of any size. Small municipalities have neither the complex structure nor the complex problems of large municipalities but they do have similar problems and require similar management techniques to deal with them.

Because both political decisions and service delivery management are less complex in smaller municipalities, councils are able to handle more of the management decision-making. This is not necessarily a good thing, because municipal political factors (what is best for the municipality), personal political factors (what is best for individual councillors), and service delivery management factors, can easily become confused and convoluted. Small municipalities cannot, however, afford both managerial and technical expertise and thus councils will continue to fulfill a service delivery management role to a greater extent than those in large municipalities.

With the exceptions that they do not need a chief administrative officer, an executive committee at the council level, or an adaptive structure such as the one recommended, most of the other aspects of this paper apply to smaller municipalities.

As long as councillors and administrators are involved in the planning for management improvement processes, the process should meet the needs of the municipality. Purposes and roles need defining in small municipalities as well, although they are less complex and need more control by the Province. Most of the other observations in this paper apply to the effective and efficient management of municipalities of any size.

TABLE 1
THE POLITICAL ROLE OF LOCAL GOVERNMENT

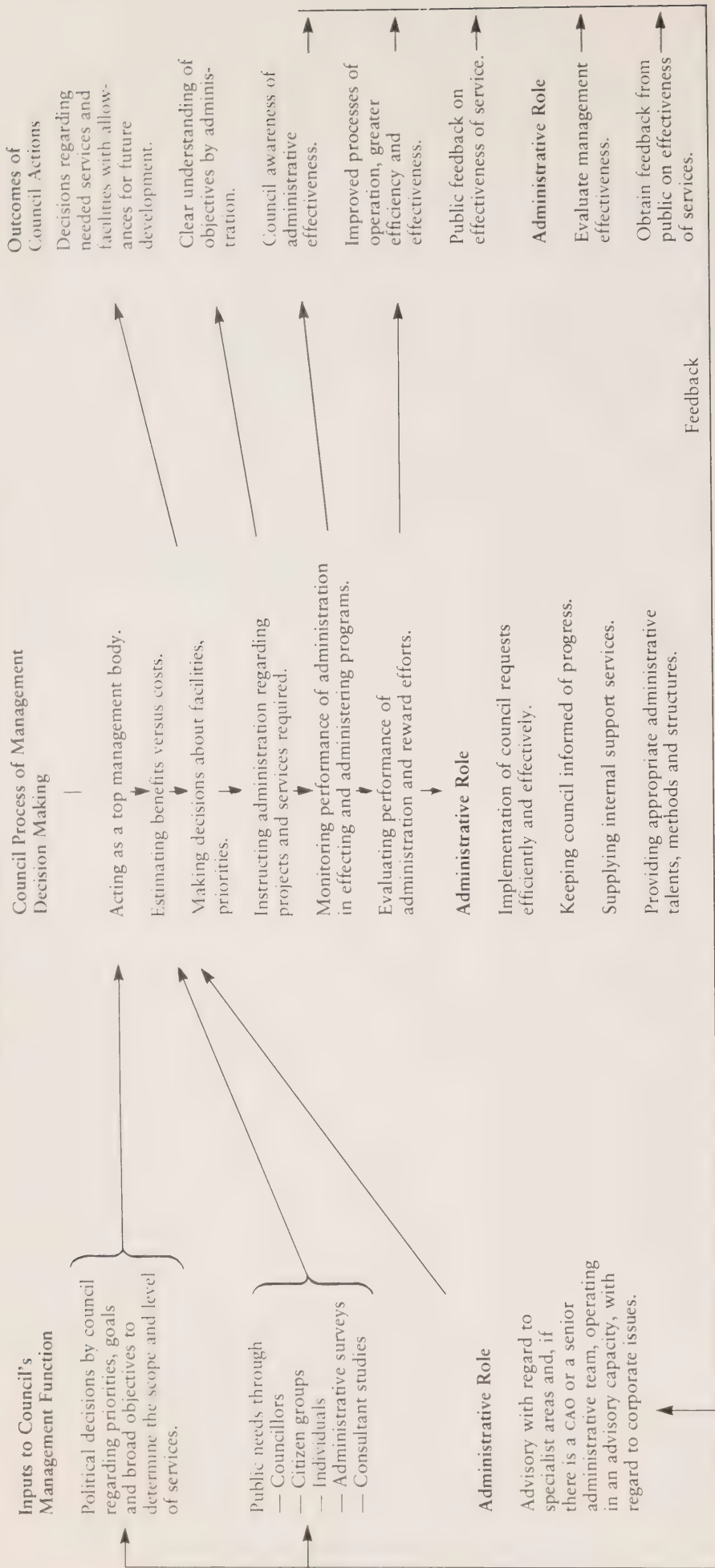


Political Functions of Local Government

1. Control over exploitation of citizens and environment.
2. Conflict resolution with regard to zoning, transportation location and routes, sanitary disposals, etc.
3. Attaining balance between individual autonomy and general welfare.
4. Balancing costs and benefits of new developments, services, etc.
5. Protection of individuals and property.
6. Enforcement of local regulations.
7. Determination of requirements for public facilities, location, etc.
8. Anticipation of future problems, planning, etc.

TABLE 2

THE MANAGEMENT ROLE OF LOCAL GOVERNMENT



Service Functions of Local Government

1. Transportation and Road Maintenance.
2. Water, Sewer and Sanitation Systems.
3. Social Support and Maintenance.
4. Social and Physical Planning - future service needs.
5. Facilities for Disadvantaged
 - homes for delinquents
 - homes for aged
 - homes for retarded, etc.
6. Public Buildings.
7. Development Requirements
 - industrial
 - commercial

TABLE 3
THE DECISION-MAKING PROCESS IN LOCAL GOVERNMENT

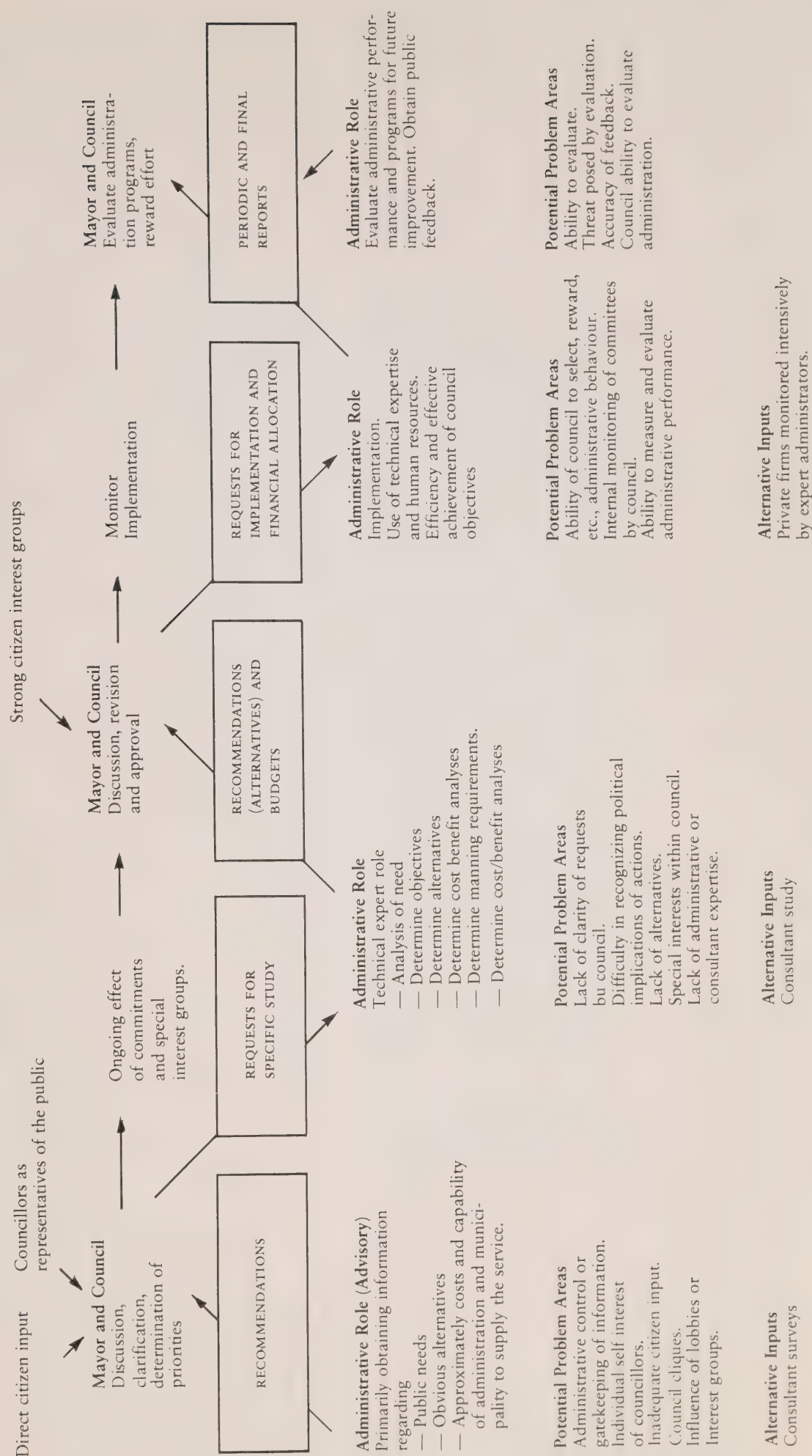
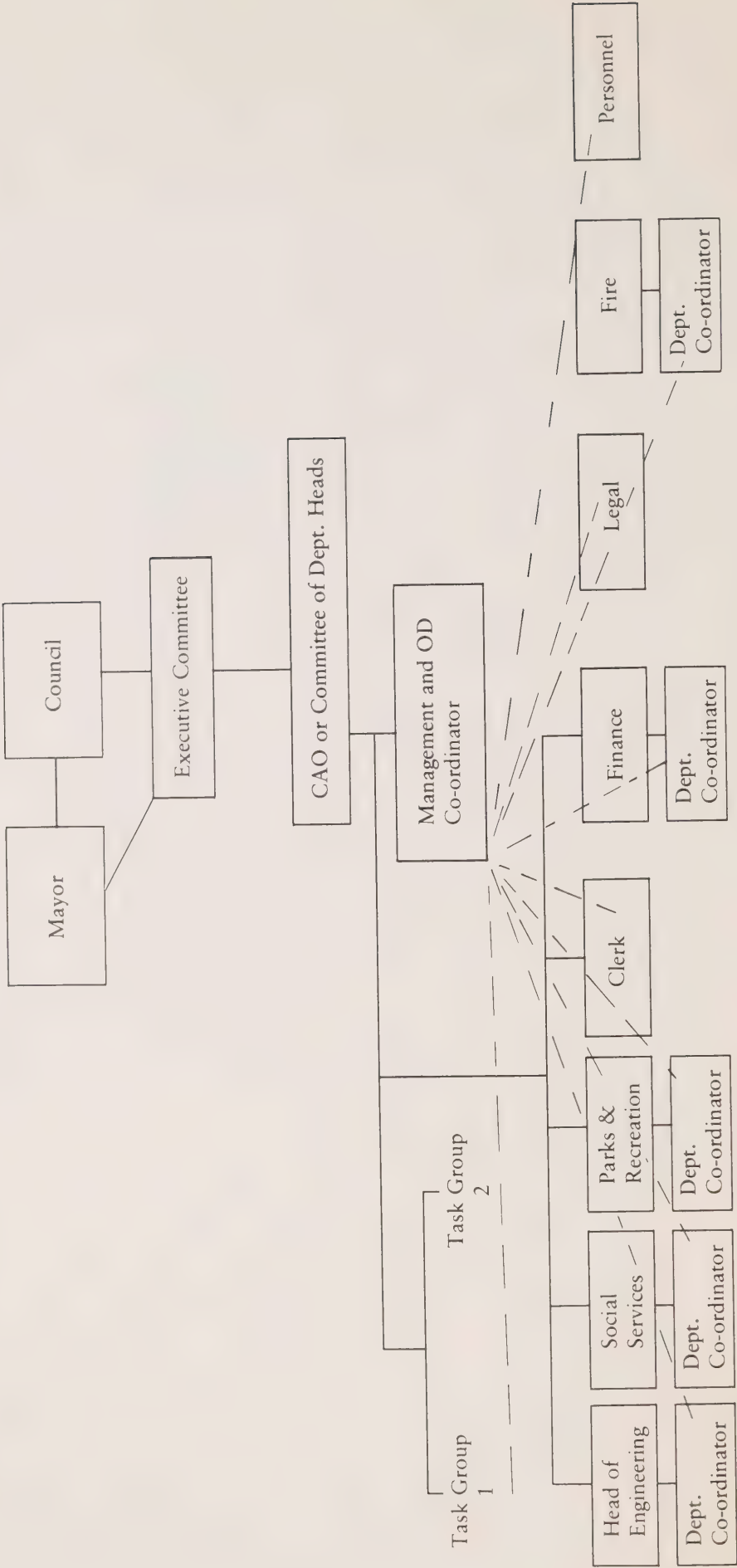


Table 4

MANAGEMENT AND ORGANIZATIONAL DEVELOPMENT STRUCTURE



SECTION B A FRAMEWORK FOR EFFECTIVE MANAGEMENT

The sole purpose of a municipal organization, and indeed the whole rationale for its existence, is to ensure that political and management service roles and responsibilities are carried out in the most efficient manner. A definition of these roles is the first step in an effective management process and the structure, procedures and organizational systems then need to be developed to carry them out. A control system ensures that such a process exists and that it is operating well.

One key requirement in local government in a simple comprehensive framework which outlines the management process and essentially provides guidelines for managers. By carrying out the processes suggested in this framework, a municipality will be adopting an adaptive system of management that enables it to continually act to update targets and methods of operation to meet changing environmental requirements. Such a framework has been the backbone of the later LGMP technical publications as it should be the backbone of municipal management. The primary elements in this process are as follows:

- 1 A clarification of the purposes and roles of the municipality and its elements.
- 2 Goal and objective setting by senior administrators.
- 3 The establishment of corporate goals and broad objectives.
- 4 The identification of roles and targets for all managers.
- 5 The development of structures and procedures which will result in appropriate activities and processes of management to achieve the goals and objectives, and the obtaining of the necessary human, material and financial resources.
- 6 An ongoing, adaptive management operation involving monitoring, controlling and continuous feedback.
- 7 A periodic, detailed evaluative procedure for ensuring that the purpose of the organization and its sub-organizations are being fulfilled and that goals and objectives are appropriate and are being achieved.
- 8 Both ongoing and periodic motivation and re-establishment of goals and objectives.

These steps indicate that effective management involves a continuous and circular process of determination and clarification of purpose, planning of activities, implementation of those plans, monitoring and modification of the process and the updating of previous goals and objectives, in response to feedback.

The management process outlined in this framework is simple but critical. Every organizational procedure, system, structure and activity can be thought of and evaluated in terms of its appropriate role in the overall operation. The framework, therefore, supplies a convenient reference for a discussion of the implementation of management improvement.

1 A Clarification of the Purpose and Roles of the Municipality

In addition to the development of common systems, it is suggested that management improvement should begin with a clarification of purpose and roles by managers at all levels and in all elements of a local government, preferably beginning with council. It is not sufficient to merely inform a municipal council that 'These are your municipal roles', or to tell an administrator that 'Here is the role you will play and your job description'.

If a councillor or any other local government manager has not been involved in thinking about his purpose and role in some depth, he will not really understand that role, nor will it probably fit the actual circumstances that exist. Each municipality is somewhat different and, of course, there is a great difference between a rural municipality and the City of Toronto, or even between the City of London and the City of Ottawa. Ottawa is not only a Regional Municipality, but also is part of a Federal District, controlled to a degree by the National Capital Commission, and is very sensitive to decisions which are made by the Federal Government.

Each municipality is responsible to the Province and really needs Provincial help in defining its purpose and the roles which the council desires and the Province is prepared to approve. These will vary, of course, with the size, sophistication and location of the municipality in question. The Robarts Report, for example, has recommended vastly increased municipal powers for Metropolitan Toronto which would be unthinkable and unnecessary for many smaller municipalities.

2 Determination of Goals and Objectives by Senior Administrators

As they did prior to the LGMP experience, the LGMP staff still feel that goal and objective training should begin with senior administrators clarifying the purpose of their own operations and their own roles as managers. This is followed by the determination of goals and broad objectives for that operation, working in company with their immediate staff. When administrators have experience in role clarification and understand the process of goal and objective setting they are able to help the council to establish corporate goals and objectives.

As discussed during the analysis section of this paper, the LGMP staff feel that larger municipalities, in particular, need some form of administrative integration, preferably in the form of a CAO working closely with his top administrators as a senior management team. Such a team can perform a valuable function, since the top administrators can work together to ensure that there are no overlaps in responsibility and they can offer support and advice to other administrators where appropriate. Top administrators can also work together to improve management communication, information and support services within the municipality.

3 The Establishment of Corporate Goals and Broad Objectives

Once administrators have practice in the development of goals and objectives at the departmental level they

have obtained the expertise necessary to assist council in determining corporate goals and objectives. If councillors see the need for municipal goals and broad objectives they will probably take the initiative and will select the method of approach. One of the major points in the LGMP paper *Corporate Management: Its Role in Local Government* is the suggestion of a number of alternatives for council involvement in a process which is designed to contribute to a more explicit definition of municipal direction and priorities.

Briefly, the LGMP staff have concluded that a council needs some focus in establishing goals and objectives or it may waste a tremendous amount of scarce time in rather fruitless debates. Where councils have attempted to set goals and objectives without administrative input they have generally agreed upon a number of very broad, almost meaningless statements. Some alternative ways for council to establish corporate goals and objectives with administrative help are, in very broad terms:

- a to have the administration prepare for council discussion, a set of position papers on major corporate issues, summarizing past council decisions, and identifying the apparent goals and broad objectives subscribed to by past councils in those issue areas;
- b to have the administration prepare a draft set of municipal goals and broad objectives for council's consideration, revision and, potentially, approval;
- c to have the administration identify issue areas where more direction is required from council and present these issues for council discussion and resolution, or for resolution in a joint council/administrative workshop; and
- d to engage in joint council/administrative problem identification and problem solving workshops.

It definitely appears to the LGMP staff that corporate goals and broad objectives have a contribution to make to effective management in any municipality. Even more important, however, is some procedure or structure which will permit council and administration to focus upon the major issues which need resolution and for council to provide the administration with some relatively consistent guidelines for future planning.

4 The Identification of Roles and Targets for All Managers

Effective corporate management entails the involvement, co-operation and contribution of every manager in achieving the corporate purpose. The corporate purpose or even the departmental purpose and role is usually somewhat remote from the role that each individual manager must play. Thus to guide his own efforts each individual needs to define the purpose of his job and his

management role, in company with his senior manager. The process of establishing the purpose and roles of each manager is an important one. Each manager should be contributing to the achievement of corporate and departmental objectives by establishing specific targets in his own areas of responsibility to guide him in carrying out his job effectively.

Once he is clear about the roles he should be playing, the manager can establish key result areas (or goals) to guide his ongoing management operations and specific targets to guide his efforts in both the long and short term. To provide continuity with higher level goals and objectives, the manager's goals and objectives will need to be finalized in consultation with his superior. If he then helps the people reporting to him to develop their goals and objectives he can contribute both to continuity and to motivation at lower management levels.²

Output targets are important, of course, but each manager can work to improve outputs through the achievement of objectives in other aspects of management. Targets in such areas as management development of subordinates, co-ordination with and supplying support services to other managers, methods improvement, communication, and the improvement of feedback, are all potential ways of improving the effectiveness and efficiency of the operation in support areas.³

5 The Development of Appropriate Structures and Procedures.

In an effective organization, structures and processes are such that they contribute to the achievement of the organization's objectives in the most effective and efficient manner.

The problem both councillors and administrators face is what to do when an operational difficulty has been recognized. One approach has been to attempt to find a technique such as program budgeting, PPBS, management information systems, zero based budgeting (ZBB), or management by objectives (MBO) to answer the problem. Alternately, reorganization is often seen as a potential solution. *Often, however, neither techniques nor structural change live up to their expectations because the problem actually lies with the inadequate understanding of basic management.* Many of these management techniques are designed to help managers who understand the basic requirements of management to operate more effectively. Such techniques support effective management but they do not, in themselves, constitute effective management.

London and Ottawa, for instance, have both attempted to incorporate a budget by program approach. Neither has been as successful as they would have liked because the environment was not suitable. The budget is a support document which provides information to managers to help them with the management task. In London, the budget by program approach was originated by the Finance Department. In this case the pressure on the administration for change had come from council, but it was probably stimulated by the expressed desire

2 Goal and objective setting at all levels of local government is discussed in some details in *The LGMP Experience: Guidelines for Organizational Change in Local Government*.

3 See the LGMP paper *Improving Management Performance: The Contribution of Productivity and Performance Measurement* for greater detail.

for improved financial management on the part of the Finance Department. Administrators were asked to submit departmental and divisional objectives and programs so that municipal expenditures could be broken down accordingly. Many administrators were not operating on a program management system and did not have program objectives but, faced with this request from the Finance Department, they endeavoured to respond as best they could. The result was a document that was praised by the Council, that was acceptable to the Finance Department, but that did not reflect an efficient and effective program management system with clearly assigned responsibility, delegated authority, effective mutual support processes, and ongoing problem identification and problem solving.

To a large extent the LGMP was guilty of the same faults as other systems during the early stages. The LGMP staff attempted to apply the technique of goal and objective setting in a context where management roles and tasks were not clear. Most managers were not aware of the problems in their operation which the process was designed to answer. When the Team recognized this they changed the approach to one of problem identification and definition, role clarification, conflict resolution, and basic management education prior to goal and objective setting. Unfortunately this change in technique came too late in two of the municipalities and the Project never recovered.

Another characteristic approach taken in dealing with apparent problems in local government, involves reorganization. Frequently, reorganization is seen to be a solution by new managers coming into an organization or by consultants who have studied its operation. The LGMP Team acknowledges the importance of structure but has some rather firm beliefs about the conditions required for an effective reorganization. Primarily the Team feels that, wherever possible, clear definition of organizational goals and broad objectives by the organization and the sub units should precede any effort to reorganize. The next step is for organization and sub-unit heads to work together to identify problems which are occurring throughout the organization in an attempt to determine how many of those problems, e.g. poor co-ordination or co-operation, are related to structure. If it appears that a large number of the existent problems result from structural considerations then a reorganization can be initiated.

A STRUCTURE FOR ONGOING MANAGEMENT IMPROVEMENT

Throughout the Project the Team worked with municipal managers to develop an organizational structure that would complement the management framework and would serve to promote integrated, ongoing management improvement. The key feature of this structure is the position of a management and organization development co-ordinator at the middle or preferably senior administrative level. This co-ordinator would report to the CAO or alternatively to the committee of department heads, the mayor or an executive committee of council in municipalities where there is no CAO, as indicated in Table 4, (Page 64).

The basis for the emphasis upon co-ordination is the relatively high degree of actual inter-dependency of the various traditionally autonomous city departments. Many departments exist only to supply support services to other departments and, therefore, have a need to know what the actual requirement for those services is. Many functions could be inter-changeable between departments and duplication of staff and equipment or even competition for various service or support roles are rather common. Thus the co-ordinator has a major role in bringing departments and divisions together to solve their problems in unison.

Co-ordination is also required so the managers who may be making a particular change in their own operations are aware of changes and innovations being attempted by other managers. Through co-ordination, potential or existing duplication of functions can be eliminated and complimentary aspects of programs, e.g. changes in management information systems and the development of programs, can be integrated.

In addition to the co-ordinating role, a stable co-ordinator position can act as an information centre for task groups and for all other managers involved in management changes. Information can be obtained and stored on the various efforts which have been made at organizational change — recommendations of task groups, etc. In addition, external research and documentation of methods of organizational change can be obtained and made available.

With this type of information and the encouragement of innovation, the municipality should be able to adapt to changing conditions in the environment. A co-ordinator, of course, can only work to encourage internal communication and mutual problem solving. Administrators at all levels, and councillors must also contribute to communication and co-ordination in the management of the municipality.

Potential roles for the municipal co-ordinator and, in larger municipalities, special departmental co-ordinators are as follows.

ROLE OF THE MUNICIPAL CO-ORDINATOR⁴

The municipal co-ordinator would be responsible for integrating and co-ordinating all management and organizational development activities and for encouraging innovation in management improvement programs. This would mean that he would perform a number of functions.

- a He would work with task groups concerned with the current status and improvements in specific management areas such as:
 - i information and communication systems;
 - ii the development of specific and inter-related administrative programs;

4 While the Project Team has no objection to the performance of this function by the head or staff of the personnel department, the Project experience indicated that existing personnel heads frequently did not have the knowledge, status or desire to fill such a role.

- iii the improvement or outlining of processes or procedures; and
 - iv any other aspect of management improvement of organizational change.
- b He would train or arrange training for various departmental co-ordinators, who would be responsible for helping managers in those departments to improve their basic understanding of management and overall managerial effectiveness (the role of a departmental co-ordinator is described later).
- c He would ensure that various initiatives in management improvement are integrated and co-ordinated so that they compliment each other, including:
- i basic management training;
 - ii goal and objective setting;
 - iii management or budgeting by program;
 - iv restructuring or reorganizing;
 - v improved processes and procedures, such as the budget processes, appraisal processes, etc.;
 - vi all new efforts at management development, the development of new reward systems for innovation and the evolution of new training programs.
- d He would provide continuity and assistance to the various task groups by:
- i letting them know what other groups had concluded and discussed;
 - ii by supplying them with sources of information relevant to their area of focus;
 - iii by helping them to set definite goals and objectives for their operation;
 - iv by advising them of the CAO and/or council's desires in terms of timing, report form and content, etc.; and
 - v by suggesting methods whereby the changes they felt were necessary might be approached (to be included in recommendations).
- e He would help to direct effective reaction to problems identified in municipal wide problem identification workshops in areas such as:
- i support services which affect a number of departments;
 - ii processes and procedures, such as approval processes;
 - iii information flow and communication at all levels of city government;
 - iv general efficiency in city operations;
 - v council and administrative awareness of city management processes and procedures.
- f He would co-ordinate input from external agencies concerned with management or organizational development.

g He would ensure that the chief administrator and/or council are attuned to progress and problems encountered in all areas of development and change and that decisions requiring their input were referred to them.

h Perhaps most important of all, he would promote trust and open communication among city managers through an example of openness and frankness. The co-ordinator would have a very heavy training role and would need assistance. For this reason, departmental co-ordinators are recommended for major departments in larger municipalities.

ROLE OF DEPARTMENTAL CO-ORDINATORS

Departmental co-ordinators could carry out roles within their respective departments which are very similar to the roles that the municipal co-ordinator fulfills for the municipality as a whole.

They would be trained by the municipal co-ordinator and/or external consultants and would be considerably more concerned with providing direct help to managers than the municipal co-ordinator. Departmental co-ordinators could help managers within the department to work together to set goals and objectives, to identify problems and set problem-solving objectives and to improve existing and originate new management procedures needed by the department.

The department co-ordinators and the municipal co-ordinator would be able to work together to find solutions to problems that involve more than one department. In addition, departmental co-ordinators would help managers to identify programs within the department and to evolve measures of managerial effectiveness.

Co-ordinators would assist with management effectiveness reviews, helping all managers to communicate more effectively with people reporting to them.

NEED FOR A CAO IN LARGE MUNICIPALITIES (25,000 AND OVER)

The LGMP experience strongly indicates the need for a chief administrative officer (CAO). There is no question, however, that the personality and management capability of the person filling a CAO position is extremely important and that a poor CAO can create a great number of problems. In spite of that danger, the LGMP staff strongly favour the CAO system with the CAO working as a co-ordinator and integrator of a management team composed of himself and all his department heads.

Co-ordination at the top administrative level is primarily important in the development of common administrative systems (filing, data processing and retrieval, etc.), in the development of effective support services, in assigning responsibility, and in providing corporate advice to council.

6 The Development of an Ongoing, Adaptive Management Operation Involving Monitoring, Control and Continuous Feedback.

Managers need definite performance measures to pro-

vide them with information about how effectively they are carrying out their tasks. Through these measures they can confirm whether or not they are accomplishing the goals and objectives they have earlier determined and also whether or not these are the right goals and objectives. Even where managers do not have formal goals and objectives, measures of performance, including feedback from clients, can tell them how well they are doing.

The main points that the LGMP staff learned in the measurement area are:

- a that managers should be involved in developing the measures for their own activities and that superimposed measurement systems do not work;
- b that managers can measure the effectiveness and efficiency of processes, e.g. how much time a budget process consumes, or how managers view an appraisal system and how much benefit they feel they are obtaining from information feedback systems;
- c that most municipal managers do not obtain the feedback which they could get from other managers to whom they supply support services. (While the measurement of public reaction to public services is expensive, feedback from other departments and divisions, regarding support services, is relatively easy to obtain;
- d senior managers are often more concerned with monitoring junior managers than they are concerned with supporting and encouraging the efforts and initiatives of those junior managers. In most cases strict control constricts innovation and effective behaviour and, given that most managers wish to do a good job in the first place, support may be far more effective than controls.

SOME GENERAL CONCLUSIONS ABOUT CONTROL

A good control system, is, of course, an essential part of an ongoing, adaptive management operation. Any control system, if it is to be effective, must consist of three basic parts, a standard of expected performance, a means of assessing actual performance and relating that to the standard, and a process by which corrections may be made. A room thermostat is a perfect example; it is given a specific, well defined responsibility and once set, it continues to operate as a control system. In the case of the thermostat, its management job is that of a control. Control is a major aspect of management which is dependent upon the clear definition of direction. As long as a manager has a clearly defined role with specific targets, the measurement and control of performance is possible. On the other hand, if a manager is unable to explicitly define his responsibilities and targets (objectives or standards), then his performance cannot be accurately measured or effectively controlled. Performance measures must be related to an objective or a predetermined level of activity. In turn, the objective itself must be related to the objectives, goals and purpose of the organization. Thus, by achieving his own objectives, an individual manager is contributing to the objectives of the organization. A subjective measure for each manager at each level to consider is how closely his

own definitions of the major priorities, targets and operational problems of his unit coincide with those of his subordinates. If there is a great deal of variation in areas for which subordinates have specific responsibility, then monitoring, control and communication processes are not serving their functions.

Control systems largely initiated by the managers themselves are vital if individual managers are to be held responsible for the efficient and effective management of their operations. Each manager needs to define measures which will indicate how efficiently and effectively he is performing. Where managers are responsible for programs, program purposes need to be defined and clear goals, objectives and performance indicators established at the outset.

This puts the responsibility for management evaluation and performance review squarely on the shoulders of each individual manager, be he a council member or an administrator. Monitoring and control systems will not be effective if they consist of watchdog techniques imposed from above. An effective management system of purpose clarification, objective setting and review at all management levels, is the most effective control mechanism.

7 A Periodic, Detailed Evaluation Procedure for Ensuring That The Purpose of The Organization and Its Sub-Organizations Are Being Fulfilled and That Goals and Objectives Are Appropriate and Are Being Achieved.

This step is necessary to ensure that each job and program is co-ordinated and that people are working together to achieve the goals and objectives of the organization. It really ensures that the rest of the management framework is in place. It is, therefore, a prime responsibility of senior managers.

The review and evaluation of the management effectiveness of both the individual and the organization is a fundamental part of management. Most managers carry out an ongoing review process with their subordinates to some degree. This may be on a one-to-one basis, on a team basis, or perhaps both. The LGMP experience indicates that where reviews are left on an informal basis they just are not carried out in many cases and it is recommended that managers ensure that this process exists by building it in as a formal procedure. One-to-one reviews are often unpopular with managers and were seldom used effectively in the Project Municipalities. While the Project staff felt that one-to-one reviews were important for management development, they found that team reviews (a manager and his immediate subordinates) of objectives could fulfill many of the same organizational needs for evaluation and feedback. Whatever the procedure, it should contribute to overall organizational effectiveness and be motivational, informational and educational for the managers involved.

The LGMP Team has developed a detailed procedure for reviewing management activities. This procedure, outlined in Paper 5 in *The LGMP Experience: Guidelines for Organizational Change in Local Government* will

not be repeated here but the basic steps will be highlighted. These are as follows.

a INDIVIDUAL REVIEW

The object of an individual review is that it should enable the individual manager to determine how realistic his goals and objectives and approach to management are and whether or not progress is being made at an acceptable rate. He should also ascertain whether or not his objectives are appropriate for reaching his goals, from both the individual and organizational perspective. He should also attempt to identify and understand any problems that are preventing him from accomplishing those objectives. Questions which will help him to do this can be drawn from those outlined under the problem identification process described in the second phase of the framework.

b TEAM REVIEW

In a team review a manager and his immediate subordinates sit down to discuss the unit's goals and objectives and the goals and objectives of each of the sub-managers. The purpose of this discussion is to review the status of objectives, to improve communications, to identify common problems, e.g. work overlaps or unclear responsibilities, and to find mutually acceptable solutions to problems concerning co-operation and the co-ordination of activities.

c SUPERIOR-SUBORDINATE INTERVIEWS

This one-to-one discussion should focus on the accomplishments and problems of the junior manager in setting and achieving goals and objectives. The purpose of this interview is to give both sides an opportunity to assess the junior manager's performance relative to his objectives and to help him to develop as a manager. Its aim is also to identify factors interfering with productivity and to determine what can be done by either the senior manager or the junior manager to make the operation more effective. The two managers can also identify needs for change and new problem areas requiring new objectives.

d REVIEW FOLLOW-UP

This step is aimed at an analysis of the outcome of the review process. The purpose of this activity is to ensure that problems and their causes have been correctly identified and that the approaches to solutions are the most appropriate.

e GOAL AND OBJECTIVE SETTING

Once the problems to be tackled in the future have been identified, goals can be reviewed and new problem-solving objectives can be established. Existing goals and objectives which are still relevant can be consolidated by modifying them as necessary.

In addition to the team and individual reviews the following steps are also part of an effective review process.

- a** A review of the effectiveness, operating policies and goals and objectives of all committees, including the committee of department heads.

- b** A review of managerial responsibilities and program allocations to ensure that both are conducive to the attainment of the organization's objectives.
- c** A review of corporate programs and of the effectiveness of support services and management systems, e.g. data processing, filing, etc. This review should take place in the administration first and then in council, so council has administrative data to work with in determining how effectively the broader corporate objectives are being achieved.

Before a review procedure can operate successfully, senior managers need first to establish the purpose and direction of the municipality and each of its elements, as stated earlier. Once the broad corporate goals and objectives have been determined, the remainder of the administration can dovetail its objectives to contribute to corporate goals and objectives. Goal and objective setting is more effective, therefore, when it begins at the top of the organization. Without this guidance, junior managers cannot set optimum goals and objectives for their activities and thus cannot measure and review performance. Of course, higher level and even corporate objectives may need to be revised as lower-level administrators set targets, because operational managers can more accurately determine actual financial and manpower requirements and production potential.

The higher levels of management should set a designated time at which they re-examine their own purposes, roles and the broad goals of the organization. This is the planning and monitoring function of corporate management. It involves an evaluation of the past, a prognosis for the future, and the formulation of plans that will facilitate control of the municipality's future. It is these plans that ensures that the administrative objectives are up to date and that the attainment of those objectives will move the organization towards its broader goals in the most efficient way possible.

8 Both Ongoing and Periodic Modification and Re-establishment of Goals and Objectives

This step, the final completion of the effective management cycle, is a logical extension of step 7. As time goes by, managers can strengthen or modify objectives as necessary and can also establish and introduce new or different objectives to solve problems that have arisen in the interim period. These new objectives are established on the basis of what can be realistically accomplished in the next period. Any changes that are made in objectives or strategy are communicated to all the other departments that could be affected to ensure that goals and objectives are co-ordinated.

SECTION C THE EXISTENCE OF EFFECTIVE AND EFFICIENT MANAGEMENT

Having outlined a framework which should act as a guide for efficient, effective and adaptive management in local government, the problem of revising the existing system remains.

The most important factors in the successful implementation of major changes appear to be:

- 1 the existence of certain prerequisites;

- 2 an understanding of the way in which managers and organizations learn and change; and
- 3 the ability of the managers and change agents involved to develop certain conditions as the change process evolves.

Each of these factors will be discussed in some detail.

1 Necessary Prerequisites

Experience during the Project confirmed that the prerequisites for an organizational change process that were identified relatively early on in the Project, were indeed necessary for a successful program of change. They include:

- a pressure for change from the external or internal environment;
- b a recognition that some strategic person or people are 'hurting';
- c a willingness to undertake a real diagnosis of the problems by some influential people; and
- d senior managers willing to show leadership.

Perhaps the most fundamental prerequisite is the recognition of a need for change by a number of prestigious councillors and administrators who are prepared to exert a good deal of effort to aid in the implementation process. Without this stimulus the potential for improvement is greatly reduced.

Any organizational change process, however carefully it is introduced, will be threatening to some, will entail some risk, will disturb the status quo and will require hard work. Often managers are not prepared for the challenge or the extended effort. They frequently expect that the change, for instance the introduction of a sophisticated structure, will bring about the necessary improvement with little involvement on their part. Such changes are rarely successful if senior management is not prepared to undertake a difficult and unsettling experience, sometimes involving personal hardships.

During the LGMP, for example, it became apparent that the initial interest was often generated because the senior managers involved expected that the Project Team members and the concepts that they would introduce, could identify and resolve the municipality's management problems. This was not the case. The Team members could *assist* managers to improve the effectiveness of their activities but they could not undertake that improvement for them. Where senior managers were not willing to adopt a leadership posture and guide their municipalities through a difficult period of change, the experiment could not proceed. This happened all too frequently. The senior managers, both councillors and administrators, gave their permission to the Team to move in and then waited patiently for the Team to create an improved, happier organization. This the Team could not do, unless the senior managers were prepared to make decisions regarding the course of the Project and to get involved themselves.

Even when the willingness to change exists, however, the organizational change which occurs may not be meaningful unless the change agent has a good under-

standing of the relatively simple and straightforward way in which managers change.

2 Understanding Individual and Organizational Change

Although the process whereby individuals and organizations change is simple and straightforward and can be readily understood through behavioural learning theory, it is one of the least well understood and one of the most ineffectively handled phenomena in both organizations and society. Managers are not alone, psychologists, teachers, judges and others in society also consistently misapply basic learning principles. In summary, the process by which individuals learn and change is as follows:

- a the manager hears about a management concept or technique, he sees another manager operate in a particular way, or he may merely take some action either intentionally or inadvertently;
- b if he feels free to do so, and thinks that the technique or the action which he saw or took is useful and appropriate, he tries out the concept (or repeats or initiates the activity in his own way. This may be quite unique and different from the way others interpret the concept or even from the way others might imitate behaviour which they have both witnessed or previously performed – think of learning to swim or to play golf);
- c he receives feedback of two different types:
 - i responses of others in the organization, particularly top management, to the fact that he took the initiative; and
 - ii feedback on the effectiveness of his effort, which may be immediate or may be long term and may be critical or constructive.
- d he tries the operation again and again, as long as he is reinforced for trying, until he has been able to adapt the new technique or procedure to fit with his own approach to management.

Some important overall things to remember about this process of learning are:

- a the manager or employee undergoing change must feel that the new technique is necessary – this feeling is usually more likely if he has been involved in problem identification and in planning the management improvement program as it applies to his unit;
- b the manager or employee must feel free to try out new techniques – the new mode of operation cannot be any more threatening than the *status quo*. Thus the organization must be prepared to reward innovation although, of course, certain controls upon experimentation are necessary;
- c the manager or employee needs constructive feedback on the effectiveness with which he uses the technique, preferably from his superior manager although facilitators can also fulfill this function;
- d facilitators and senior managers need to recognize that the process of change may be very slow, and that

each individual may use a particular technique in a very individual way as he adapts it to his own approach to management.

The process of individual change is discussed in far greater detail in *Management Improvement: A Manager's Guide to the Theory and Process of Individual and Organizational Change*. It has been outlined here because a basic understanding of the way managers change can be very helpful in the successful implementation of a management improvement process.

3 Characteristics Which Can Be Developed As The Change Process Proceeds

An organizational change process is a learning process – a developmental process that usually takes considerable time as well as effort. Individuals learn slowly and gradually in a step-by-step fashion, and organizations learn and change in a similar way. Change in one area may stimulate change in another.

During the LGMP implementation a number of characteristics became apparent that supported and facilitated the implementation of new approaches to management. These were as follows.

- a An understanding of and sensitivity toward the organizational environment.
- b Involvement in the process and an integrated approach to management by the senior administrators.
- c Involvement and approval by council.
- d A designation of resources over the long term.
- e A future oriented perspective.
- f An atmosphere that encourages change.
- g An internal co-ordinator or consultant.
- h Capable outside advisors.

a AN UNDERSTANDING OF AND SENSITIVITY TOWARD THE ORGANIZATIONAL ENVIRONMENT.

The LGMP staff found that they were most successful in bringing about change when they began by gathering the managers together and asking them to define the problems that they were facing in their everyday work. Managers were asked to consider those things that were preventing them from doing the best job possible. Once managers fully understood the process and what was being requested of them, they usually could respond with a number of problems or areas of difficulty. These could then be addressed through goal and objective setting where appropriate, given the existing systems. In this way, the Team could be sure that the processes of change that they were advocating were indeed dealing with the right questions. This process also helped managers to identify the strengths and weaknesses of their own operations and to understand how their own activities fitted in with those of other organizational units.

Too often organizational change processes are pre-determined outside the organizational context. The problem then becomes one of 'selling' the concepts and the form and timing of the organizational change, to those involved. The LGMP Team found it more efficient

to encourage individual managers to take responsibility for improving their operations and helped them to find ways of doing so. Originally they planned to achieve this through the orientation workshops, small group discussions and one-to-one interviews. The workshops were not as effective as they might have been, however, because the Project Team placed too much stress on the theory of goal and objective setting when they should have emphasized the practical value of goals and objectives, e.g. in the establishment of immediate pay-off in terms of accomplishment of short range, problem solving objectives.

b INVOLVEMENT IN THE PROCESS AND AN INTEGRATED APPROACH TO MANAGEMENT BY THE SENIOR ADMINISTRATORS.

The top administrators need to become involved in the process, indicating both understanding and support, before a large proportion of managers at lower levels will become enthusiastic about the program. These top administrators can provide the focal point for the direction of organizational change.

It is the responsibility of the senior administrators to develop goals and objectives that are consistent with the direction determined by council, and to allocate resources and establish an organizational structure which will facilitate the achievement of those goals and objectives. As the professional managers in local government, they can ensure that the management framework, as outlined, actually exists. Too often, senior administrators see their roles as passively responding to the whims of council in an administrative rather than a management role. This approach results in an inefficient and frustrated administrative staff.

It is also the responsibility of the senior administrators to present alternatives to council as to how the corporate goals and objectives can be achieved, considering the constraints placed upon the operation by financial, jurisdictional and other factors. For this role to be performed efficiently the senior management team needs to be a co-ordinated decision-making body. This was not the case in two of the Project municipalities and the Project suffered as a result. The CAO in one of those municipalities was forced to operate without the input he might have liked from his senior administrators, whereas in the other, the departmentalist philosophy was so strong that several departments did not wish to be involved in co-ordinated decision making. Since there was no CAO in the second municipality, the LGMP was unable to promote effective corporate management because no one could really speak for the administration. There is no question, from the Project experience, that any major management improvement process requires the involvement of all departments, preferably from the outset.

c INVOLVEMENT AND APPROVAL OF COUNCIL

Council must define the purpose and direction of the organization within the constraints imposed by Provincial controls. It is council's responsibility to indicate the guidelines which will govern the administration in developing alternative programs to be presented to council for approval. If council is not proactive in corporate

planning, or if it does not show an interest in and knowledge of municipal management, then the administrators will not be encouraged to improve their operation or to provide the council with advice on corporate matters. The LGMP experience indicated that councillors can be greatly assisted in the decision making process by the administration. (The processes for doing this have been fully outlined in the corporate management paper.)

d A DESIGNATION OF RESOURCES OVER THE LONG TERM

It is important that an organizational change process has a long term time frame. Merely parachuting in a new technique often seems quick, but it probably will not bring about any real and lasting change. The process must begin and end with individual managers. Their problems must be determined and addressed. This takes time.

Organizational change does not just happen. It takes much time and energy. For it to be a success all those involved—consultants, managers and council, need to think in terms of a long term project. In fact as already indicated, the LGMP staff feel that ongoing mechanisms for adaptation and change might be a good idea. If a municipality is preparing to undergo an organizational change process it must be prepared to devote the resources necessary for the success of that process over the long term, and by long term we mean in the region of ten years.

e A FUTURE ORIENTED PERSPECTIVE

When undertaking long term and relatively complex organizational changes, municipalities should have a clear idea of what they are changing from and what 'goal' or ideal state of affairs they are trying to reach. This 'ideal state' must, of course, be achievable and realistic.

Consequently, the municipality needs to have a well considered assessment of the current state of affairs and know what it would like to change. The LGMP staff feel that position papers on various issue areas, of the type suggested earlier, might be of some help, particularly if they are followed up by the development and maintenance of updated files in each area.

f AN ATMOSPHERE THAT ENCOURAGES CHANGE

There must be some incentive for change. The processes that are necessary are long, involved and often tedious. Managers learn slowly and require supportive, constructive feedback if they are to take risks. Some form of incentive for taking these risks is important. Positive feedback is possible through ongoing and formal reviews. Unfortunately, a formal one-to-one review procedure will not be welcomed by managers who are insecure and who feel threatened by such a process. Some senior managers may manipulate the process to protect themselves. Managers need a clear understanding of their area of responsibility and the points at which that responsibility interfaces with the area of responsibility of other managers. Unless this clarification is encouraged, the goals and objectives which are

identified probably will not assist the manager to manage more effectively. Councils also must feel that it is in their best interests to plan and provide direction for the municipality rather than just concentrating on providing a forum for debate. If administrators are given incentives to take management courses that are meaningful to their jobs, those managers who are really interested in furthering their careers will be quickly identified. Incentives can themselves provide the 'hurting' criterion and pressure for change. Nevertheless, management change takes time as managers learn the new techniques through a trial and error process. Encouragement and feedback need to be given by the next highest level. Managers must feel that the risks they take will be worthwhile and that there is a potential for better pay and benefits, improved working conditions, status, improved social relationships, etc. as a result of the change. Managers need to be involved and to have confidence that they can make the change. They will not resist change if it takes place at their pace and if they understand why it is necessary and what it encompasses. A problem with the LGMP and with local government, in general, was the lack of the development of effective rewards for innovative management.

Contrary to some management literature, it is not sufficient to have the top people involved and pushing for management improvement. People throughout the organization must accept the feasibility and desirability of change and accept some personal responsibility for the success of the program in their respective management areas. Trust facilitates risk taking and co-operation, and mutual support stimulates trust. In cases where trust was lacking, mutual co-operation and co-ordination also failed and the absence of these factors seriously hampered the potential for success of the LGMP.

g AN INTERNAL CO-ORDINATOR OR CONSULTANT

Municipal administrators played crucial roles as internal LGMP consultants in each of the Project Municipalities. As a result of their close contact and personal empathy, internal consultants were better able to understand the manager's problems and needs for specific types of help than outside advisors, who were, on the other hand, often better able to recognize more general problems in management.

When the internal consultant was able to develop a trusting relationship with other administrators, they were more willing to come to him for help. He was immediately available and understood the internal politics of the organization which often created problems for managers in adopting new techniques. As long as he was regarded as a helper rather than a representative of upper management he was able to perform effectively. Internal co-ordinator roles were discussed in detail in the preceding section.

h CAPABLE OUTSIDE ADVISORS

Consultants should not spend too much time on theory. The important activity is to get managers involved and to help them to take over and 'own' the project. This means starting the change process where the managers

are now and helping them to move toward more effective management. They will not move merely because the desirable management characteristics are identified. They have to work out where they are now, what the new level of management is and what is involved in making change. The outside consultant, as an objective individual, can help with these steps and can provide support along the way.

He should not see the project as *his* project. The managers undoubtedly will at first. He must ensure that the managers recognize that the consultant can help them to identify the need for change and even to make changes, but cannot make the changes for them. Consultants will fail if they first develop and then try to sell 'a program' to municipal administrators or councillors. Consultants and managers must work together through a process of mutual understanding to achieve a more efficient and effective operation. No one has the authority to force change, but a motivational foundation can be developed through the support of upper management and a concerned consultant. The authority for change, however, really resides with each manager in the system.

SECTION D ACTION TO STIMULATE MANAGEMENT IMPROVEMENT IN LOCAL GOVERNMENT.

A number of activities can be initiated almost immediately, at relatively low cost, that appear to have considerable potential to contribute to more effective and efficient local government management. These include actions at the provincial level, the municipal level, and by schools of public administration. Potential initiatives in each of these areas will be discussed separately.

Potential Action by the Provinces

Even though the operation and regulation of local government is a provincial responsibility in Canada, there are some very good reasons why provinces should adopt a 'hands off' approach in those areas where authority is delegated and responsibility is assigned to municipalities. If the provinces become embroiled in local issues, even to the point of imposing some controls to accompany financial support, municipalities' prerogatives to control the efficiency and effectiveness of their own operations, could be subject to question. In spite of this danger it does appear that there are some

initiatives which provinces could undertake which might encourage management improvement in municipalities.

1 They can insist that municipalities develop at least the external trappings⁵ of a systematic approach to management that would include:

- a the provision of direction for municipal management in the form of corporate goals and broad objectives as described in other LGMP publications⁶
- b a clear definition of the roles of council and administration with regard to political decisions, advisory functions, executive policy making, operational policy making and the carrying out of operations;
- c co-ordinated and integrated internal management of the municipal operation which consists of program goals and objectives, problem identification and problem solving objectives at each management level, and periodic individual, team and program reviews as described in other LGMP publications;⁷
- d measures of productivity and performance for all service and support areas.

2 They can encourage, support and have provincial input into the development of practical courses in local government management, including comprehensive courses and seminars in both basic and corporate management by municipalities and schools of public administration, business administration and community colleges.

3 They can encourage municipalities to make municipal goals and objectives public so that voters at least have a potential to understand what their local government is attempting to do. An informed media (newspapers and television announcers) could be a powerful and perhaps the only truly valid force in promoting management improvement.

4 They can encourage strategic planning among municipalities which would include input from semi-autonomous boards and commissions in management areas such as resource allocation for social services (where applicable), transportation, and industrial and commercial development.

5 They can provide management expertise to smaller municipalities. The problem to date in providing such expertise has been uncertainty how to help municipalities to manage better. We feel that the LGMP publications should help in understanding and defining municipal needs. They should be particularly helpful where they can be used with other practical material, cases, etc., as references for management courses.

6 The LGMP staff see nothing wrong with making a certain amount of provincial funding contingent upon evidence that a municipality is taking the steps to improve its own management that are suggested in the following section. This system appeared to work reasonably well for the Ministry of Transportation and Communications of the Province of Ontario in the im-

⁵ There is no way that anyone can legislate or ensure effective management in a municipality, but by insisting upon the development of the external concomitants at least some real improvement should take place over time, even though the initial reaction may involve primarily 'game playing' to obtain available funds. Whatever management 'gimmick' a municipality adopts to deal with management problems (program budgeting, MBO, zero based budgeting, etc.) more of them will be truly effective if the requisite supporting management system discussed here is in place.

⁶ Primarily *The LGMP Experience: Guidelines for Organizational Change in Local Government* and *The LGMP Experience Phase II: The Implementation of Organizational Change in Local Government*.

⁷ Ibid.

plementation of the Municipal Maintenance Management System.

Potential Action by Municipalities

Municipalities can take a number of actions to improve the effectiveness and efficiency of their management. These may be more applicable to larger municipalities, although some specific actions are also recommended for smaller municipalities. The suggestions include actions which might be taken either by council or by administration.

ACTION AT THE COUNCIL LEVEL

1 Councillors can exert an effort at the beginning of their terms to become more aware of the purpose and rather complex roles of local government in serving the needs of the community. Many municipalities are now holding familiarization workshops for new councillors and are actually, in some cases, experiencing problems with attendance at those workshops. The Province of Ontario also provides general educational workshops for new councillors but, of course, not all councillors have the time to attend out-of-town workshops.

The LGMP staff feel that an 'in camera' discussion of municipal purposes and roles and of the responsibilities of council and administration could be highly useful to all councillors, especially new ones, in most municipalities. These sessions could benefit from input by guest speakers from the province and from schools of public administration.

2 Councils should develop a profile of municipal goals or key result areas that:

- a indicates where the municipality is at present in terms of planning, development and the provision of service; and
- b indicates where the municipality wants to be in the future in terms of life style, type of community, quality of life, etc.

The establishment of goals, by themselves, involves a requirement for thinking about the direction which the municipality should take and about general management needs. Goals are important to guide municipal management in general but they do not provide the specific direction administrators need or, in fact, which the public needs in order to respond in a meaningful way to municipal plans. Each citizen should be encouraged by municipal action to ask himself or herself these questions.

What do I want this municipality to become?

What does it need to do to get there (professional administrators can supply alternatives and their probable costs)?

What can I do to help it get there?

To what extent am I willing to provide funds and/or become actively involved in the process?

Councils, with administrative help and advice, should be able to encourage and use such input to develop both goals and broad objectives for the municipality. Broad objectives will provide the administration with needed

direction and give the public more specific information about local government plans so that they can respond more intelligently and can indicate more clearly how they are prepared to provide personal support.

3 Council should indicate that it expects the administration to outline departmental goals and broad objectives. The development of both departmental and program goals and objectives throughout the administration will facilitate priority setting and the evaluation of program effectiveness by councillors and senior administrators.

The administration should also be made aware that it is expected to carry out routine problem identification processes at all levels and to take the necessary action to deal with the problems that are identified.⁸ Council should also be kept informed of where those problem areas impinge upon the council's plans or where action is required at the council level to resolve the problem.

The LGMP staff are convinced that municipalities need a chief administrator to integrate and co-ordinate administrative efforts. Support services, common (not necessarily centralized) filing and other communication and data systems, and those public services or service decisions involving several departments, are all issues in which co-ordination at the administrative level is almost mandatory if the council is to receive the type of advice and administrative support it needs. Committees of department heads just do not customarily deal with these issues in a comprehensive way.

4 Rewards for effective management must be provided.

Once effective management systems, including program objectives, reviews and measures of productivity and performance, are in place it becomes possible to measure administrative efficiency and effectiveness. Actually, the fact that such systems exist is worthy of positive recognition and reward in itself.

Systematic approaches to management will help weaker administrators to an extent, and this effect can be bolstered by management training. Systematic approaches will also help councils to discriminate between effective and ineffective managers at senior levels. As senior administrators also develop a capacity for discriminating between effective and ineffective managers, incentives for effective management will aid in the development of better managers at middle administrative levels. It should be plain that the discussion of systems does not imply rigid lock-step, highly controlled, procedure-ridden bureaucracy. It does imply clear objectives and programs and methods of determining how well these programs and objectives are being achieved, and whether or not the programs are meeting the needs of the clients (public, council or other departments).

ACTION AT THE ADMINISTRATIVE LEVEL

It appeared to the LGMP staff that administrators in many municipalities were attempting to make desirable

8 See *The LGMP Experience: Guidelines for Organizational Change in Local Government* for a reference on problem identification.

changes. In fact, the LGMP itself resulted from administrative initiatives. Some of the major activities which seem to be required at the administrative level for management improvement include the following.

1 The need for basic management development and management training courses focused directly upon such pragmatic issues as delegation, assignment of responsibilities, communication, development of management procedures, problem identification procedures, organizational communication, interpersonal communication, the roles of a manager, and the development and use of management information and counselling. Some typical workshops are suggested in *The LGMP Experience: Guidelines for Organizational Change in Local Government*. This rather general need for basic management education exists because administrators are characteristically technical specialists, e.g. engineers, accountants, planners, etc., with little or no basic training in management.

2 The need to develop a corporate orientation; a need which once again results from the high degree of specialization and the traditional independence of municipal service departments. As a result of this independence, support services are often inadequately developed, as are filing, data storage and internal communication systems. In addition, of course, and highly important in this era of rapid change, is the need for all department heads to meet, discuss and allocate internal responsibility for the numerous issues and challenges which cross traditional departmental lines. Such issues as transportation impinge upon all departments which provide public services and, therefore, require internal co-ordination and integration as well as the more commonly recognized need for co-operation between municipalities.

The LGMP staff feel that chief administrative officers are required to enable the administration to deal with corporate issues, because some constraining and regulatory decisions, particularly with regard to support departments, will be necessary. It is also easier to allocate responsibility for new municipal functions with the help of a central administrative authority. On the other hand, the chief administrator has to function largely as a co-ordinator of the many specialized talents within the administration. It is possible for department heads to co-ordinate voluntarily to perform the required functions but such co-ordination necessitates giving a committee of department heads some considerable power. The authority in such a case would lie in majority votes and all department heads would be bound to accept such decisions in areas which did not impinge on their specialist functions concerned with the direct delivery of public services, e.g. the engineer would continue to make engineering decisions. Support departments and support functions, on the other hand, would be governed by committee consensus because their major role involves the provision of a service to line managers.

3 The need to clarify the management roles of the administration which, in the LGMP experience, were confused and uncertain. Administrators perform very important advisory and information generating roles

for council and these roles must be recognized and accepted. In the complex environment of larger municipalities, in particular, the administration must actively innovate and take the initiative in supplying information and in making recommendations to council.

Administrators are also continually in touch with the public. Each member of the administrative staff is, at once, a representative of the local government and a source of information for council and upper level administrators regarding public reaction to local government decisions and services.

4 The need to develop a problem identification, objective setting and review process at all administrative levels.

Problem identification will indicate the critical needs for action on the part of the administration and/or council, objectives provide a focus for action to overcome problems and a review process is necessary to provide an evaluation of progress and guidance for future efforts. These processes are all discussed in detail earlier in this publication.

Potential Action by Schools of Public Administration, Business Schools and Community Colleges

Since there is no clear delineation between the potential training and education offered by these various sources of expertise, we can assume that any one or any combination might become involved in providing councillors and administrators with the required understanding and skills. It appears that two major types of training and education are urgently required by municipalities; one at the basic management skills area and one at the corporate and strategic management level. Programs which include the following concepts and practices appear to be most appropriate in these respective areas.

COURSES IN BASIC MANAGEMENT SKILLS

Briefly, courses in basic management skills must begin with the development of a basic understanding of what management is all about. There are some excellent background readings and texts in this area. Readings and texts are important but they will not replace cases and experiential exercises where managers get together to discuss the important issues of management and practice techniques in workshops. In addition to this basic overview of the purpose of the management function and the roles of a manager, the management skills which need to be included in such a program are:

- a delegation of authority and assignment of responsibility (case and experiential exercises);
- b organizational communication, initiating and improving filing systems, data systems, reports, letters, oral communications, etc.;
- c interpersonal communication, including an understanding of different value systems, impact of management approaches, counselling, openness to feedback, etc.;
- d problem identification procedures and follow-up;

- e basic goal, objective and priority setting to alleviate the problems identified;
- f methods of establishing programs and program objectives;
- g management simulations such as 'in basket' exercises, management games, etc., so administrators can become more familiar with ways of dealing with common management problems in a controlled setting;
- h methods of training and developing of sub-staff;
- i a discussion and understanding of the role of review processes including on-going reviews of objectives and periodic reviews of purpose, goals and objectives at the individual, team and superior-subordinate levels, including practice in one-to-one developmental review interviews;
- j an understanding of basic financial management appropriate for a line manager;
- k union-management and employee-manager relations; and
- l the development and use of information.

The content should be practical and experiential where possible. Where actual simulations are not possible, cases can perform a valuable role. Lectures can result in the transmission of concepts, but generally are of little benefit without workshop or on-the-job follow up.

CORPORATE MANAGEMENT COURSES

Courses in corporate management would be extremely beneficial to those councillors who could find the time to attend, and to administrators at all levels, primarily senior administrators. Once again, simulation, e.g. a dummy municipality or municipalities could be developed and video simulation laboratories used to provide an aura of reality. Some areas which should be included in such courses are:

- a the purpose and roles of local government and of council and administration (LGMP papers could be useful reference material);
- b the impact of municipal structure, e.g. chief administrator, committee of department heads, executive committee, etc., and the roles which might be appropriate to each structural element;
- c the council/administrative interface;
- d the government/public interface and the flow and meaning of information;
- e corporate goals and objectives (cases and simulations);
- f corporate planning;
- g strategic planning (other municipalities, boards and commissions);
- h program evaluation and performance and productivity measurement (MBO, PPB, zero based budgeting, etc.);
- i corporate administrative systems (filing, information, data processing, support services, etc.);
- j basic understanding of individual and organizational change; and
- k the role of unit, individual and program goals and objectives in management.

This paper has not gone into detail in these areas because the LGMP papers, taken as a whole, do cover them to a fair extent. The authors can flesh out the potential contents of the educational units suggested, as we have already been involved in workshops and seminars in most of the areas discussed.

Epilogue

At this point we feel we have accomplished our publication objectives. We feel that the LGMP was a useful and interesting experience and we have tried to transmit our thoughts about the things that we feel we have learned. Many of them may appear to be common sense, our perceptions may have been inaccurate, our ideas and ambitions for local government improvement may be

unrealistic but at least we have bared them for public consideration and criticism. We would be very pleased to discuss any of the ideas we have generated with public or private administrators or managers anywhere because only in this way can we develop our own knowledge and capabilities.

Appendices

Appendix I

The Project Team

This short discussion of the Project Team indicates some of the considerations which prompted the Directors to undertake the Project, primarily a research motivation, and the difficulties encountered in obtaining Project staff, combining evaluation, publications and implementation. The efforts which were made to evaluate the Project's impact, including the two major questionnaires that were used, are described in some detail in Appendix II.

ORIGINAL MOTIVATION

The original motivation for undertaking the LGMP on the part of the Project Directors was the opportunity it offered to carry out research on the implementation of organizational change in a number of complex organizations. Initially, it was planned to have 'control' municipalities to match each of the project municipalities and to follow through changes in individual manager's attitudes and behaviour as well as changes in organizational structure and processes in both the control and the Project municipalities.

CONTROL MUNICIPALITIES

The Project Directors made an effort to obtain control municipalities but found a lukewarm acceptance when the potential controls discovered the amount of time that would be involved in interviews and questionnaire completion. Even if controls had been available, however, the time demands upon the Project Team and the Project Directors in particular, were such that there would have been no time left over to undertake the information gathering required to document the processes, procedures and structures which existed in control municipalities.

As it was, the Project Directors, both full-time academic staff, each averaged three full days per week on the Project-related management, hiring and training of Project Trainers, training workshops in the municipalities, joint planning with Project Leaders and other administrators, meetings and liaison with the Province, preparation of material for workshops, travelling and preparation of Project publications. When one Director left the Project in April of 1976, the other devoted all his non-teaching time to the Project, including a large proportion of his week-ends and evenings.

The three Project Trainers were also busy. One of them had responsibility for two municipalities and spent an average of over four days a week either travelling or in the Project Municipalities. The other two trainers averaged between two and three days per week away from Queen's and had other Project responsibilities such as

material preparation, writing, questionnaire administration and handling, preparation for seminars, etc.

PROJECT PUBLICATIONS

Throughout most of the Project, two very effective secretaries were kept busy with correspondence, publications, etc. At the outset of the Project a number of publications were prepared as a result of literature searches. These had two functions; the first was the obtaining of information for use in Project implementation and the second was the belief that such summaries of past experiences and information would be useful Project output. By the end of the Project, the publication of literature search material had been discontinued. It was decided, at the urging of the Advisory Services Branch of the Ministry, to publish largely concepts, thoughts, experiences and recommendations arising directly out of the LGMP.

OBTAINING PROJECT STAFF

It was difficult to hire people who had previous experience either as trainers or managers, for Project Team staff. In fact, the Project Directors eventually decided to recruit from among their own graduating students. Although these students were young and lacked experience, therefore requiring a considerable amount of training, they generally adapted well, learned rapidly and contributed a great deal. Their greatest difficulty, in fact, came in the area of writing, although two of the part-time Project Staff and two of the full-time trainers proved able in this area as well.

The Project Team developed as a tightly knit, mutually supportive group, and generally fulfilled their commitments to the Project Director, even in the closing days of the Project. In fact, the support at times was well above that which might have been reasonably expected.

Fortunately, all members of the Project staff went on to the type of occupations they desired and no members of staff feel that they suffered in any way as a result of their involvement in a rather unusual short term job.

DELAY IN PUBLICATIONS

Publication had been largely delayed until the implementation phase was completed and it was this area that presented the greatest problem to the remaining Project Director. Writing academic texts based upon literature searches and compilations of research is one thing but attempting to develop publications which have some pragmatic value to practicing managers is another. What is of value to one manager may be of little or no value to another.

Publications were delayed, first because the heavy load of implementation took all the available time of the remaining Project Director and later because the time involved in producing these publications was grossly underestimated. Project staff were very helpful but only the Project Director had been involved in all aspects of the LGMP and his time was necessarily somewhat constrained by his faculty and teaching responsibilities.

Appendix II

Project Evaluation

The Project Team used three combined control and evaluation mechanisms during the Project: a questionnaire to determine the basic characteristics of the different municipalities, called a Basic Organization Questionnaire (BOQ); a questionnaire designed to gather information about the attitudes and perceptions of the managers involved, called an Individual Employee Questionnaire (IEQ); and ongoing observations by the members of the Queen's Team in order that they could respond quickly to organizational changes and needs, and also so that they could produce useful accounts of Project experiences.

A THE BASIC ORGANIZATIONAL QUESTIONNAIRE (BOQ)

The function of the BOQ was to allow the Team to determine the make-up of the various organizations with which they were involved. The Project was originally designed to determine what influence the differences in organizational structure and decision making processes had upon the introduction of the goal and objective setting process. A vehicle was needed, therefore, to determine the initial status of the structure and processes and the BOQ was designed to do this.

The questionnaire itself was administered by the members of the Project Team and it was used as a guide for obtaining information from administrators. It was made up of three sections which were broken down as follows.

Section I - Organizational Description and Background

- 1 NAME AND LOCATION OF MUNICIPALITY
- 2 HISTORY
Growth, main changes in structure over time, etc.
- 3 ORGANIZATIONAL STRUCTURE
A general description of the actual operation of the municipality as depicted by the organizational chart, including council-administrative relationships, committees, etc. Included here was a detailed statement of the main functions and duties of each department and sub-departmental unit.
- 4 RELATED CIVIC ORGANIZATIONS
The organizations in the municipality concerned with civic life and related to the municipality (e.g. police commission, library board, transportation commission), including such information as responsibilities, total budget, size of staff.

5 RELATED PROVINCIAL AND FEDERAL DEPARTMENTS

The nature of the relationship between the main provincial and federal government departments and the municipal departments.

6 RELATED AREA MUNICIPALITIES

7 OTHER CIVIC ORGANIZATIONS

Community action groups or other voluntary and participative groups which exist in the municipality.

8 STAFF AND STRUCTURE

The number of individuals employed by the municipality broken down into full vs. part-time, management vs. non-managerial, union vs. non-union, etc.

9 DOCUMENTED MATERIAL

Documents which would help to describe and/or understand the nature of the municipality as an organization, (e.g. annual reports, budgets, public relations materials).

10 STATISTICAL DATA

Basic population, geographic size, financial (operating and capital) and other statistics of the past decade.

Section II - Detailed Organization Descriptions

11 ORGANIZATIONAL SYSTEMS

Information on internal systems such as the budget system, the official planning process, general planning systems, information systems, management control systems, pay system, performance appraisal system, job evaluation system.

12 UNION ACTIVITY

The number and names of active and certified unions in the municipality. The number of recent strikes, walkouts and grievances.

13 RELEVANT STUDIES

Special studies related to administrative operations which had been completed or were anticipated for the future.

Section III - Administrative Information

14 A LIST OF EMPLOYEES

15 ORGANIZATIONAL LEVELS IN THE HIERARCHY

Once this information was collected, the Project Team had a very rich base on which to develop the Project to match the organizational characteristics of each munic-

ipality. This data base also established a standard which could be used to measure the progress of the Project. The administrative information which was collected in Section III was particularly useful for the administration of the IEQ.

B THE INDIVIDUAL EMPLOYEE QUESTIONNAIRE (IEQ)

This questionnaire was designed to find out how individuals in the different municipalities felt about their jobs and organizations. It was believed that this information would be useful for the Project Team to determine to what extent organic change was taking place in the municipalities. Organic change differs significantly from mechanistic change and a measure of this difference was considered to be crucial for this Project. Originally the Project was designed to introduce a broadly conceived system of goals and objectives into the context of municipal management. The extent of acceptance of this system was obviously important. Individuals could, if they were so inclined, develop systems of goals and objectives for themselves and their departments that had no real meaning. That is, the goals and objectives did not provide direction, or the basis of management for the individual's activities. Organizational change, in this case, would have been mechanistic because a mechanical system of goals and objectives would have existed but the underlying behaviour patterns would have remained unchanged.

On the other hand, managers could have grasped the concepts of goal and objective setting and adopted and incorporated them into a meaningful role in the individual's system of management. This would represent organic change.

The IEQ was an attempt to determine where managers' stood in regard to a number of variables that might affect their performance, and then to assess the change in attitudes over the period of the Project. It was hoped that the questionnaire might also indicate problem areas in each of the municipalities. These problems could then be addressed by the Project Team and the senior management. Of course, the major purpose of the questionnaire was its potential to indicate what type of *attitude* changes took place in relation to observed *behavioural* changes.

The questionnaire was first administered in February of 1975, in all four municipalities, and again in the following year. It was administered a third time, in 1977, in London and St. Catharines but not in the other two municipalities. The questionnaire enabled the Project Team to examine changes over the two year period and also permitted the comparison of management conditions across municipalities. To this extent the IEQ was very successful in that it allowed senior administrators to 'see' changes that had taken place.

The IEQ was well accepted by senior management because on the whole they had relatively poor systems for evaluating the organizational climate and the questionnaire results provided new information.

The administration of the IEQ was time-consuming, however. Each manager in each municipality down to

the foreman level was invited to complete the questionnaire and a set time was put aside for them to do so. In the larger municipalities, two or three days of Project staff time was allocated to questionnaire completion. A manager might take two hours to fill in the questionnaire and upon completion was asked to put the questionnaire in an envelope and seal it. If he wished, the manager could remove his name tag from the questionnaire, leaving only a coded number (only 4% did this). The envelopes were then returned to Queen's for computer analysis. The information that was fed back to the municipalities did not identify individuals or individual work groups. This anonymity was most important if managers were to be expected to fill in the forms honestly. The scales used on the questionnaire were as follows:

1 ROLES

a Role conflict.

Defined as the degree of incongruity or incompatibility of expectations associated with a role. To the extent that goals and roles define each other this scale is seen as being important to conflict and leadership as well as goals.

b Role ambiguity.

Defined as the lack of clarity and predictability of outcome of one's behaviour.

c Role overload.

Defined as the extent to which a person feels they are being pressured by too many demands. It is expected that overload will be frustrating to many individuals and this may affect their motivation.

d Role clarity.

Again it is expected that lack of role clarity will be frustrating.

2 CONFLICT RESOLUTION

Conflicts are likely to have major effects on group pressure as well as individual goal setting and organizational effectiveness.

a Considerate avoidance.

Defined as a pleasant yet passive atmosphere where good humour is maintained, feelings are left unruffled and the problem is essentially ignored.

b Adversary resolution.

Defined as a closed, adversary situation where power relationship or defensive bargaining predominates.

c Problem-solving.

Defined as a co-operative, open and problem oriented atmosphere.

3 CLIMATE

a Trust.

Trust seems to be important in the communication process.

4 COMMUNICATION

Communication of organizational and individual

goals and objectives was considered to be critical to the successful implementation of the Project.

- a Upward communication.
- b Downward communication.
- c Lateral communication.
- d Gatekeeping.
Defined as the amount of information passed on to others in the organization.
- e Accuracy.

5 ORGANIZATIONAL STRUCTURE

- a Formalization.
Formalization is a primary division of structure that has been identified in the literature.

6 JOB CODIFICATION

- a Measures how well the job is defined.
- b Rule observation.
Measures the enforcement of rules.
- c Centralization.
Defined as the extent to which decision-making, and, therefore, organizational power is centralized.
- d Complexity.
Defined as the extent to which there are specialists within the organization.

7 JOB CHARACTERISTICS

Various characteristics of the task are likely to be important to an individual's motivation, as reflected in job satisfaction.

- a Variety.
- b Autonomy.
- c Feedback.
- d Task identity.

8 WORKING UNIT SCALES

A large proportion of a manager's time is spent working in groups. It is likely, for example, that departmental goals and objectives will be determined in a group setting. These measures of working unit behaviour can be related to the overall effectiveness of the intervention.

- a Group goal clarity.
- b Group uniformity.
Defined as the degree of similarity among organizational members in terms of background, ability and objectives.
- c Group planning.
- d Group cohesiveness.
- e Group integration.
Defined as the degree to which group members are able to work together.
- f Group task difficulty.

g Open group communication.

h Group productivity norms.

i Group attendance norms.

j Group climate.

k Group co-operation required.

l Group co-operation actually taking place.

9 LEADERSHIP

These scales were developed specifically to examine leader impact on the performance — reward link which has received a great deal of emphasis in path goal and expectancy theories. Among other relations, the scales are expected to be linked with motivation, personality and roles.

- a Supportive instrumentality.
Defined as the contingency between behaviour and a supportive or rewarding organizational response.
- b Punitive instrumentality.
Defined as the contingency between behaviour and a punitive or reward withholding organizational response.
- c Advancement instrumentality.
Defined as the contingency between behaviour and advancement.
- d Supervisor's consideration.
- e Supervisor initiation of structure.

10 TASK OBJECTIVES ATTRIBUTES

Since the Project was designed to implement a system of goals and objectives, measures of variables critical to the process were necessary. Also goal setting has frequently been mentioned as a key aspect in the motivation process.

- a Objective clarity.
- b Objective difficulty.
- c Objective attainment.
- d Objective setting involvement.
- e Change of objectives.
- f Importance of objectives.
- g Department and working unit plan, goals and objectives.
- h Feedback from supervisor.
- i Commitment to review dates.
- j Career goal clarity and achievement.
- k Individual and organizational goals.

11 MOTIVATION

If a goal objective setting program is to have a lasting impact, it must affect motivation.

- a Specific job satisfaction.
- b General job satisfaction.
- c Pay satisfaction.

- d Pay equity.
- e Effort-performance link.
Defined as the contingency between effort and performance - the degree to which greater effort will result in greater job performance.
- f Performance-reward link.
Defined as the contingency between performance and rewards - the degree to which greater job performance will result in greater rewards.
- g Performance.
- h Job effort.
- i Intrinsic motivation.

12 JOB SATISFACTION

- a Tasks.
- b Supervision.
- c Promotions.

13 PERSONALITY.

- a Self-esteem.
It is felt that self-esteem may be related to goal difficulty as well as motivation.
- b Focus of control.
Defined as the degree to which people perceive contingency relationships between their actions and their outcomes. Persons who believe they control their own destinies are called 'Internals', while 'Externals' believe their destinies are determined by factors outside their control.
- c F-Scale (Authoritarianism).
Designed to measure ethnic prejudice and 'pre-fascist tendencies' simultaneously, without mentioning minority groups by name - a general rigidity in personality is also associated with this variable. Authoritarianism has been shown to be related to tolerance, ambiguity and goal variables as well as motivation.

14 MISCELLANEOUS INFORMATION

- a Span of control.
- b Supervisor's impact on career.
- c Personal information.

C PROJECT TEAM OBSERVATION

The third control and evaluation system was observation on the part of the Project Team. This included feedback from managers at all levels as the Project progressed. This method was found to be most valuable because the questionnaires did not identify problems early enough to stimulate the necessary reaction.

The Project Leaders played a valuable role in this respect. They were in daily communication with the municipality and constantly in touch with the managers affected by the Project. In turn, the Queen's staff met frequently with the Project Leaders to determine the position and to plan strategy for the next time period.

The trainers spent so much time at the municipalities that it was difficult to bring them all together for a meeting, but where possible the Queen's staff would meet in the office at Queen's once every two weeks. These meetings included all the part-time and full-time Project staff. Each trainer would present the situation in his municipality and what he expected to accomplish during the next period. At these meetings he was able to discuss problems and seek assistance if necessary. These meetings also involved a discussion of the state of the documentation and tasks would be assigned and responsibilities determined.

On occasion, the Project Leaders from the municipalities would meet with the Queen's staff and the representatives of TEIGA to exchange views and ideas, to determine the status of the Project, and to co-ordinate plans for the next time period. During the earlier part of the Project, these meetings tended to be training sessions, in which the Project Directors would pass on the concepts of the Project and the skills necessary for Project operation. Towards the later part, however, the Project Directors assumed a co-ordinating role and used the meetings to ensure that information and learning experiences flowed across the municipalities rather than only from Queen's to the municipalities. Each municipality evolved differently and used different procedures but each Project Leader was aware of the progress in the other municipalities and, to an extent, used that as a control or a measure of the progress of his own municipality.

Appendix III

Project Publications

The investigations required for the design of this Project have led to some publications and working papers. These publications will be available for purchase on the publication date indicated on the attached order form.

Apart from the *Project Overview Statement*, the various publications have been grouped into four series.

PROJECT OVERVIEW STATEMENT

This paper describes the Project in overview fashion. It contains a statement of the goal and objectives of the Project, a description of the goal and objective setting process, and the documentation and evaluation processes to be used in the study. Price \$1.00.

SERIES A PUBLICATIONS: PROJECT DOCUMENTATION AND EVALUATION

The purpose of this series of papers is to describe the experiences of the four Project Municipalities, to analyse those experiences, and to indicate their possible relevance to other municipalities. This series will also include papers outlining the design of the evaluation process, as well as periodic reports on the evaluation of the Project.

- 1 *The LGMP Experience: Phase I.* This paper traces the Project from its inception in 1972 through various approval stages ending with the approval of the Project by each of the four participating municipalities. Price \$2.00.
- 2 *The LGMP Experience: Phase II.* This paper traces the Project through its early implementation stages, ending at the termination of the second full year of funding. Price \$4.50.
- 3 *The LGMP Experience: Phase III.* This final publication will include an overall perspective on the LGMP and an evaluation of the total experience. The analysis section, in this case, will be an analysis of the complete project and the paper will end with a section on the broad implications of similar major programs of organizational change for other local government organizations. Price \$4.50.
- 4 *The LGMP Experience: Guidelines for Organizational Change in Local Government.* As they identified requirements for management improvement, the Project Team attempted to meet training needs and developed working papers explaining the procedures they had used. In total, these working papers, which have been edited and included in one publication, provide a framework or guide for various aspects of organizational change in local government. Price \$4.50.

SERIES B PUBLICATIONS: TECHNICAL PAPERS

The purpose of this series of papers is to present reasonably concise descriptions of broad areas of municipal management and administration as they relate to various aspects of the Project. These papers, which describe

the state of practice and experimentation of the various areas, have been written for elected and appointed local government officials.

- 1 *Corporate Management: Its Role in Local Government.* This paper defines the process of corporate management in local government and includes a discussion of a method of approaching a more effective corporate operation. Price \$3.00.
- 2 *Improving Management Performance: The Role of Productivity and Performance Measurement.* An overview of the field of performance measurement including examples of output measures, fiscal measures, process measures, and methods of program evaluation. Annotated Bibliography. Price \$5.00.
- 3 *Management Improvement: A Manager's Guide to the Theory and Process of Individual and Organizational Change.* This paper describes frameworks for individual and organizational change which seem to be supported by the LGMP experience. Price \$3.00.
- 4 *Improving Management Performance: The Role of Management Information.* This paper discusses the relationship between information and effective management, with particular emphasis upon techniques that individual managers can use to improve their own use of information. Price \$3.00.

SERIES C PUBLICATIONS: CASE STUDIES

The purpose of this series is to describe various municipal experiences with programs related to the goal and objective setting process. The case studies are suitable for instructional purposes to focus discussion on the broad areas which the cases represent.

- 1 *Goals for Dallas 'A'.* The Dallas, Texas experience with broad goal setting, involving extensive public participation. The 'A' case reviews the program from its inception in 1965 to 1972. Price \$2.00.
- 2 *Goals for Dallas 'B'.* The Dallas, Texas experience with broad goal setting, involving extensive public participation. The 'B' case examines the program from 1972 to 1974. Price \$2.00.

SERIES D PUBLICATIONS: PERIODIC PAPERS

The purpose of these papers is to describe various aspects of the Project which are felt to be of interest to municipalities contemplating the introduction of a system of goals and objectives.

- 1 *Developments in the Management of Local Government — A Review and Annotated Bibliography.* This paper was prepared to provide local government managers and elected representatives with a description of current developments in the field of local government. The paper describes ten areas of development in the management of local government and supplies annotated bibliographies of books, articles and reports dealing with these areas. Price \$2.00.

This order form can be used to order publications of the Local Government Management Project. Orders can be made as the publications become available as indicated by the date of publication. Enclose payment with this order form. Make cheques payable to Treasurer of Ontario.

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Series A Publications: Documentation and Evaluation		
<i>The LGMP Experience: Phase I: Assessing Readiness for Organizational Change in Local Government</i>	Jan. 1977	\$2.00
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